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Kabul City Organizational Assessment

An in-depth examination of Institutional Systems, Tools and Processes and Management Capacity.

Vital Statistics | Communications & Collaboration | Policies & Operating Procedures | Knowledge, Skills & Experience

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EXECUTIVE SUMMARY

Kabul is an organization composed of dedicated public servants who possess every intention of making their municipality the best it can be. However, when clear policies and procedures are missing, or when employees lack the compensation, physical tools or infrastructure necessary to make those good intentions realized, service delivery becomes a problem and employee morale suffers. When essential systems, tools and processes are necessary to maintain accountability and efficiency necessary to deliver quality services do not exist, or when they are present but not effective, the potential for waste, fraud and abuse can lead to corruption.

The United States Agency for International development (USAID) the sponsored a \$120,000,000 capacity-building project - Kabul City Initiative (KCI) - to improve institutional capacity, management capacity, municipal service delivery, public information and public information and to restore local confidence in its local government. The purpose of this assessment was to identify areas for improvement.

This assessment involved the careful examination of the organization's structure, functionality, planning, processes, policies, procedures, staffing, and overall performance of the municipality and its management. The assessment incorporated of a variety of methodologies including site visits, staff discussions, internal appraisals, written assessments. The assessment included input and participation from 180 mid-level and senior managers including Deputy Mayors, Directorate Generals, Deputy Directorate Generals,

District Managers, Deputy District Managers, General Managers, and Department Managers. Non-technical/non-management staff, while not included in this assessment, will be included in future trainings and assessments.

The information provided in this Final Report is presented in three contexts or sections: *statistical information*, *institutional capacity*, and *management capacity*. Findings are the products of a close examination of the organization's institutional and management capacities. Institutional capacity refers to the city's systems, tools, and processes. Management capacity refers specifically to the examination of management's capacity to effectively perform essential duties and improve the organization. Results contained in this report determine where there is potential for immediate organizational improvement, and outlines steps and activities towards sustainable organizational improvement.

INSTITUTIONAL CAPACITY

The organizational assessment found that despite managers' claims, directorates and districts do not universally use written standard operating procedures (SOPs). This condition severely hinders unit effectiveness. SOPs exist, but few managers were unable to produce anything in writing. The assessment also found important written policies and procedures absent in finance, planning, licensing and permitting, human resources, and public information. As a consequence, management personnel performing financial,

human resource, enforcement and planning often differ in their understanding of what functions they perform and what standards they are required to use. As a result, lapses in critical functions are missing. Financial plans and budgets rarely extend beyond one year. In fact, 3-year financial statements, development budgets, and asset depreciation schedules are lacking. While acknowledging the importance of financial planning, few managers were able to identify which financial plans are required. Equally few indicate that financial plans are present, effective, or efficient.

A lack of policies and procedures has likewise hindered the city's capacity to effectively administer other essential functions in districts and departments alike. Specifically, while HR functions are present in all districts and departments, policies are mostly unwritten and duties are inconsistently performed. As is the case in Finance, nearly two-thirds of HR management personnel confess that they are unaware of human resource duties. The lack of standard HR policies and procedures has produced a very heavy dependence on job descriptions and organizational charts and has congruently increased the likelihood that those unwritten policies that do exist are applied arbitrarily and inconsistently. As an example, the assessment shows that the current job descriptions are not tied to compensation, creating internal pay inequities and pay rates that are well below rates of other municipalities and the private sector. The current environment therefore serves as an incubator for employee discontent and less effective staff performance. While the current distribution of responsibilities and span of control appear appropriate, both will need to be realigned in the future. Both DGs and District Managers appeared unclear as to the importance, requirement and effort required to perform

various functions. KCI should revisit or clarify the degree to which departments and districts are involved in the key functions of the municipality.

While the inspections function appears to be well staffed and structured, the managers responded that the municipality has very limited authority over enforcements and fines non-compliance. This enforcement deficiency is resulting in significant uncollected revenue, as well as significant unregulated construction activity. In licensing and permitting, where nearly 60 percent of managers stated that they do not have standard policies and procedures, the assessment found very limited licensing and permitting activities performed universally, especially in the areas of land transactions and contractor verification. In Planning, the assessment found that the city's general plan is 30 years outdated, though it is currently being updated. An integrated Capital Improvement Program is non-existent, the Building Code is outdated, and the Planning Process lacks clarity.

This assessment also revealed deficiencies in the administration of capital equipment, capital facilities, and infrastructure. With regard to capital equipment, there exists no formalized or universal fleet maintenance program. While a little more than half of departments even maintain a list of vehicles, more than half of department managers say there are too few vehicles. What is even clearer is that there exists an apparent lack of tools and spare parts to maintain the fleet; an aging fleet of vehicles, some over 50 years of age. The assessment, meanwhile, also found no evidence of a vehicle tracking system that would allow the city to efficiently plan for and execute the replacement of fleet units. With regard to other critical equipment, nearly three-fourths of managers do not

maintain an inventory of equipment and 40 percent say that their departments and divisions possess equipment that is “beyond repair.”

The lack of an electronic communications infrastructure, meanwhile, is impacting the efficient use of personnel. Specifically, staff enjoys no access to electronic mail. There exists at the same time a very heavy and inefficient use of personal mobile phones, while written communications are produced in hard copy and duplicated. This reality represents a very serious expenditure of resources, especially considering the fact that 73 percent of internal communications are written. Also absent is an electronic recording filing and retrieval system. The significant finding here however is the fact that the city lacks a comprehensive IT/IS strategy. In fact, a basic inventory of computer equipment is generally lacking throughout the organization. The lack of a basic IT framework has resulted in heavy staff use of manual equipment such as typewriters and notebooks. As a result of these deficiencies, critical historical and logistical information is either memorialized in individual memories or has been produced in printed or handwritten notes. Meanwhile, the desktop phones are infrequently used and have no PBX system associated with them. There is likewise no fixed internet connection, and few mobile cards are used.

With regard to capital facilities and infrastructure, inventories of municipal buildings and facilities space are generally located in multiple departments and districts, and are often hand-written and/or found in ledgers. This lack of available data has resulted in inadequate resource planning is manifested by overcrowding in some buildings and the underutilization of others. Many facilities,

meanwhile, are lacking reliable power. The assessment also found a lack of a streets inventory and pavement management process.

As a final point regarding institutional capacity, the assessment revealed significant deficiencies with regard to the city’s ability to be inclusive, collaborative, and communicative. While management and staff appear eager to be open, responsive, and transparent, they lack fundamental communications tools. Specifically, there exists no municipal website and some newspapers being used for external communications lack significant external distribution. Meanwhile, the current governance structure, lacking any complementary advisory boards, may be perceived as producing barriers to public participation and private sector collaboration.

MANAGEMENT CAPACITY

As the assessment examined the management capacity of Kabul, a positive element surfaced relative to management’s training and credentials, indicating that educational levels are high and diverse. The fact is that half of the city’s managers possess a college degree. These degrees include disciplines such as engineering, construction, urban planning, management, journalism, economics, horticulture, and architecture. Most of the DGs and district managers appear to be engineers, and many managers possess significant prior government experience. Despite enjoying an educated and experienced management team, the assessment found no evidence that training is an organizational priority. On the organizational level, a professional development program/strategy is in fact absent; despite the perceptions communicated to our team that independent study tours and training have contributed significantly

to individual performance. Undaunted, 30 percent of managers have organized and/or facilitated training workshops.

Some managers meanwhile communicated that they believe themselves to be disenfranchised from the budget and planning processes. Specifically, service directorate generals and district managers collectively expressed limited involvement in planning and budget processes. Meanwhile, managers state that they do not share a common understanding of planning, both as a process and as an instrument for decision making. While most managers indicate they have a plan, for example, most of these plans are no more than lists, and a majority of managers do not have a written and approved plan. At the same time, management appears overwhelmed by policies requiring a high degree of written work and duplication, as well as face to face communication. Exacerbating this is what appeared to be management's limited delegation of decision making.

As a final note, the assessment revealed an organization that may be underutilizing some of its most critical human resources. For example, only 13 percent of management positions are held by women. Meanwhile, the profile of the typical manager is male and over 45 years of age. This reality has not gone unnoticed. Roughly a third of managers state that their respective department or district does not effectively address the needs of women employees. More than half, meanwhile, believe that their organization or subunit is beginning to address the needs of women and youth in the planning process, this despite the fact that nearly a third of managers say that they do not plan to include women in professional development training. The Mayor is aware of the aging workforce and has taken steps to increase the number of women

serving in management positions. To further the Mayor's efforts, the municipality can improve the inclusion of youth and women in the management structure by developing a comprehensive professional development (mentoring) program inclusive of women and younger employees.

CONCLUSIONS

- 1. Information Systems.** Design, install and maintain a robust information system for data storage, data sharing and electronic communication with email and internet capacity. Increase computer training for management and technical employees necessary to perform their activities and functions. This system will be capable of improving internal and external communication- including public information and public participation.
- 2. Public Participation / Public Information.** Develop a comprehensive public information strategy including: *mobile information centers, increased newspaper (Pamir) circulation, outgoing text messaging from the municipality to residents, a phone-in information system for residents and businesses, radio broadcasts, billboards, a website, and internet-based television (WebTV). Most of these tools can measure public information and public participation in government.*
- 3. Process Map.** Eliminate confusion among directorates, districts and departments by involving managers and employees in the *process mapping* key functions: *financial, planning, human resources and enforcement / compliance*

within the Municipality. This process should produce graphic representations of the steps and assignments for each process, and should produce formal written procedures (SOPs).

4. **Realign the Organizational Structure.** As necessary, re-align the organizational structure to better address the distribution of responsibilities for performance of these functions. This may involve greater centralization and decentralization depending on the functions.
5. **Human Resource Management: Compensation, Job Descriptions, Staffing levels & Professional Development.** Address legacy staffing issues including low compensation and ineffective job descriptions by assigning monetary value to a position's required knowledge, experience, education. Conduct a salary study of regional cities to compare local government compensation to, amend the current pay scale, and prepare a budget for phasing-in salary adjustments (if necessary). Conduct a Staffing GAP analysis to determine surplus or shortage of employees, a Staffing Transition Plan

to improve employee qualifications and capabilities, and develop a Professional Development Program (PDP) for management and non-management employees.

6. **Training & Professional Development.** Training and professional development must focus on immediate-impact skills; on-site training which is: *more specialized, more frequent, less costly, more productive and sustainable*. With the aging workforce, training must increase skills of youth and women. Training that is lacking includes:

Management: *Financial Management, Resource Planning, Leadership (Personnel Management, Team Building & Project Management), Time Management, Computers & Technology (e-mail, MS Office), Project Supervision & Effective Communication*

Non-management: *Equipment Maintenance, Inspection, Problem Solving, Effective Communication, Team Building, Time Management*

BACKGROUND & METHODS

BACKGROUND

The population in Kabul has swelled from 850,000 to 5,000,000 the past 30 years – largely due to a tremendous increase in ‘informal settlements’. This increase in population has led to an increase of trash that often sits in neighborhoods uncollected. The streets in Kabul are choked with vehicles – many of them unpaved and in disrepair – contributing to air filled with dust and pollution. Few street lights or traffic lights work. Parks are in disrepair and full of earthen and man-made debris. Drainage ditches intended to carry storm water are clogged with trash and sewage. Some culverts have collapsed creating opportunities for disease and fly breeding cesspools in summer and fall, and flooding in winter and spring. Most residences use ground-level latrines which contaminate shallow wells from which residents (typically) draw drinking water. Solid human waste is typically shoveled from latrines onto donkey carts or trucks and later disposed of on farmlands, vacant lots, and in riverbeds.

“We have the responsibility to show our residents that we can produce results.”
— M. Younius Nawandish (Mayor)

The 1978 comprehensive Land Use Plan – designed for a city of \$1,000,000 – appears to need significant updating and enforcement. Residents complain that new commercial and residential development is rarely approved through a permitting process. Lack of approved and enforced building and planning makes new construction susceptible to loss of life. Employees complain that international building code standards are either out of date or not formally approved for use. Residents also complain that internal municipal processes are neither transparent nor comprehensible. Employees and residents alike agree that the rules, regulations, and systems necessary to govern a city of 5,000,000 are not in place, and it is believed that the City’s current work force is undertrained, underpaid, and demoralized.

Financially, expenditures appear to be unmonitored, and various types of revenues continue to remain uncollected. Budget preparation, annual and long-range planning, revenue collection, and procurement processes do not appear to be defined, leading to a significant potential for fraud. If the property valuation system is roughly thirty (30) years out of date (as the City Master Plan), and the resident population in Kabul has increased by more than 500% during that time, then it is likely that only a fraction of properties have been properly registered, recorded, and associated taxes uncollected.

OBJECTIVES OF THE ASSESSMENT

This Organizational Assessment is part of the start-up phase of the \$120,000,000 Kabul City Initiative (KCI) project. KCI is a three-year, \$120,000,000 project designed and awarded by the United States Agency for International Development to Tetra Tech /ARD to partner with Kabul Municipal Officials to accomplish several key objectives:

- *To spend \$60,000,000 on infrastructure improvements;*
- *To increase the capacity of city officials in the Kabul government in support of service delivery fund improvements;*
- *To markedly improve services to citizens in Kabul;*
- *To improve public information and public participation; and*
- *Increase municipal capacity to generate revenues;*

“Kabul Municipality is like state machine and it should be transformed to an active and more effective machine...”,
—Wahabuddin Sadaat (Deputy Mayor)

The purpose of this Organizational Assessment is to validate and examine current the institution’s systems, tools and processes and the experience and capacity of its management to recommend solutions which will improve Kabul municipal management and service delivery. The information collected would be necessary to establish a baseline of the status of core municipal systems, standard operating procedures (SOPs), and functions not currently in place (or partially in place) for each function or service to be effective. With this information in hand, KCI and Kabul City Management will be able to reestablish municipal responsibilities and improve all vital functions including: budgeting, procurement, planning, land development, tax collection, sanitation collection, street maintenance, cash management, public information and public participation.

The principal objective of this Organizational Assessment was to carefully examine each of the municipality’s service directorates and districts to:

1. *Identify the full extent of which key functions were being performed throughout the municipality and whether key functions performed follow standard operating procedures (SOPs);*
2. *Identify whether the systems, tools, and processes required by National Law, Order, or Decree have been adopted;*
3. *Evaluate the performance of those functions to determine the of effectiveness, efficiency and sustainability of expected systems, tools, processes and procedures;*

-
4. Identify the competencies of each municipal manager and administrator in the areas of technical knowledge, management and supervisory skills, ethics, and customer service orientation to determine the most effective methods and means to improving the capabilities and capacity of managers;

This Organizational Assessment Report includes:

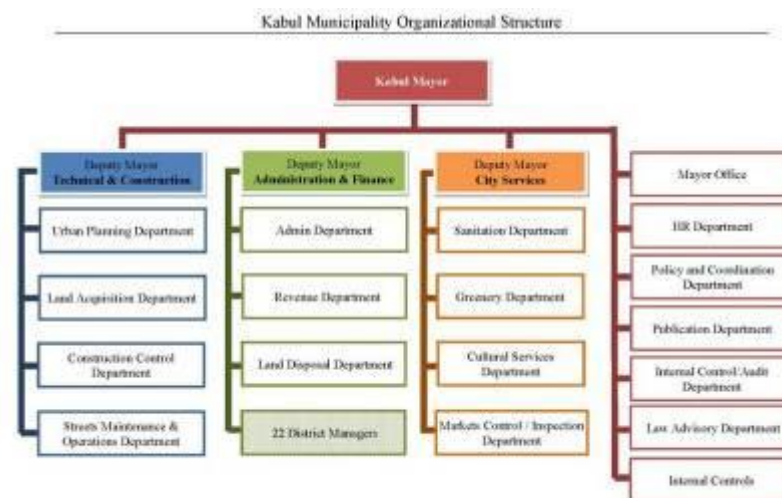
- *Recommendations for more effective means for reducing the cost of operations while improving service delivery and service quality;*
- *Support and action items necessary to improve operational efficiency and increased revenues can be realized during the upcoming budget year and beyond.*
- *Recommend optimization alternatives to the organization's functions, forms/structure, and resources to facilitate perpetual organizational improvement.*

In a collaborative effort with the KCI Team, Kabul City officials should use the results of this assessment to determine and plan the need and priority for various organizational improvements. A series of group / Task Force workshops and On-The-Job trainings (OJT) for Kabul City staff will assist in the implementation of new systems, tools, processes, plans, and procedures. Results of the assessment will also contribute significantly to the preparation of a Management Capacity Plan and Quality Service Improvement Program (QSIP).

DEPARTMENTS AND DISTRICTS EXAMINED

Kabul Municipality's organizational structure consists of 6,900 employees organized into 16 service 'Directorates' and 22 Districts. Each of the 16 directorates is placed within one of three Divisions: *Technical and Construction, Administration and Finance, and City Services*, each group of directorates is managed by a Deputy Mayor (DM) under the direction of the Mayor. The Mayor has direct-line authority over 3 Deputy Mayors and 7 directorates (DGs) as described below:

- Mayor: *Mayor's Office, HR, Policy and Coordination, Publication, Internal Control / Audit, Law Advisory, and Internal Controls*
- Technical and Construction DM: *Urban Planning, Land Acquisition, Construction Control, and Street Maintenance and Operation Department.*
- Administration and Finance DM: *Administration, Revenue, Land Disposal / Distribution, and 22 District Managers, Internal Control (Audit), and Land Acquisition*
- City Services DM: *Sanitation, Greenery, Cultural Services, Markets Control / Inspection*



Each directorate is managed by a Directorate General (DG), Deputy Directorate Generals (DDG), and mid-level Managers responsible for various departments and divisions within the directorates. For purposes of service delivery, the Municipality is geographically subdivided into districts and by a District Manager (DM) – all districts have Deputy District Managers and general Managers over various functions or divisions (as needed). Unlike the other two Deputy Mayors, who directly manage 4 departments, the Deputy Mayor over Administration & Finance manages 3 departments and 22 District Managers. Beyond this, a 'standard' approach to organizational structure ends and each department is uniquely organized into other positions with decreasing management, technical or supervisory responsibility, and increasing non-technical skilled and manual labor positions.

Levels of Management	Assessment Participants
1 st Level Manager:	3 Deputy Mayors
2 nd Level Manager:	14 Directors General 22 District Managers
3 rd Level Manager:	13 Deputy Directors General 22 Deputy District Managers 3 General Managers
4 th Level Manager:	107 Department Managers
Total Managers	184 (only 160 responses were received)

ASSESSMENT METHODOLOGIES & DESIGN

As Deputy Mayor, Directors General and District Manager positions are subject to appointment and removal by the Mayor or through a change in the Mayor, it was essential that this assessment focus deeper within the organization to four (4) levels of management necessary to increase the potential for effective, efficient, and sustainable change, even through a period of turnover in senior management. This Organizational Assessment focused on the following four (4) levels of management illustrated in the following table:

An assessment document (questionnaire) was designed to gather more than 250 senior management responses in three sections:

- **Section I: Statistics.** Administered only to 36 senior managers consisting of 22 District Managers and 14 Directorate Generals. This section was designed to gather information relating to vehicles, equipment and inventories.
- **Section II: Institutional Capacity.** Administered to 52 senior managers consisting of 14 Directorate Generals, 13 Deputy Directorate Generals, 22 District Managers and 3 General Managers. This section was designed to gather information on the internal and external methods in two parts:
 - **Communication & Collaboration** (*Information Technology, Public Information, Public Participation, Public-Private Partnerships;*
 - **Policies & Operating Procedures** (*Finance, Human Resources, Licensing & Permitting, Enforcement & Compliance, and Planning & Planning Tools and Processes.*
- **Section III: Management Capacity.** Administered to 184 senior and mid-level managers consisting of 3 Deputy Mayors, 14 Directorate Generals, 13 Deputy Directorate Generals, 22 District Managers, 22 Deputy District Managers, 3 General Managers, and 107 Department -Managers. This section was designed to gather information on the capacity of managers in three sections:
 - **General Comprehension** (*5 general questions about their unit and the services it provides;*
 - **Knowledge, Skills & Experience** (*Length of Service, previous Experience, formal Education, Professional Certifications, Professional Skills, Computer Skills, and Professional Development./ Training;*
 - **Rapid Manager's Assessment** (*opinion questions relating to Governance, Management Practices, Human Resources, Service Delivery, Public Relations, and Internal / External unit Relations)*

The Mayor is appointed by the President of Afghanistan, was omitted from this assessment

The Assessment was designed to gather information through *testing* and *observation*. The *testing* phase involved design and administration of survey-style questions to gain information from management at 4 different levels. On-site visits were an essential part of *observation* necessary to validate or clarify information which might contradict, or be absent or unclear from the initial assessment responses.

There were several challenges to this assessment which should be noted:

- Not all managers completed the assessment, and some managers did not complete some questions;
- Some managers on-the-job experience was limited to only a few months, thus experience and familiarity with various department functions and terms of reference were inconsistent;
- Translation difficulties were present (English to Dari to English) resulting in the potential for loss of accuracy in responses;
- KCI Assessment Team members experience in municipal government and in internationally-accepted survey methods was inconsistent;
- Management responses were personally, professionally and culturally biased (requiring personal observation and discussion by assessment team members)

Assessment results are to be considered informational and results inferential. Future examinations are recommended.

ASSESSMENT PHILOSOPHIES

1. *The Mayor, his Deputies, and District Managers have extremely challenging responsibilities in the current war / post/war and current socio-economic environment to improve service delivery and organizational effectiveness which will positively impact the lives of Kabul residents. They are not responsible for events and circumstances leading to the current state of the municipality, but they have the responsibility to improve these conditions;*
2. *Reducing the potential for corruption is attainable through careful examination of the Municipality's core functions, systems, tools and processes. This examination is critical to effectively identifying thematic or systemic alternatives to improving organizational systems, tools, and processes;*
3. *A close examination of all departments and districts is critical to effectively identifying obstacles and opportunities to improving municipal management capacity and service delivery;*
4. *A close examination of all management employees is critical to effectively identifying obstacles and opportunities to improving municipal management capacity and service delivery;*
5. *Staff input and participation is critical for the success of this assessment;*
6. *Significant immediate and long-term improvements are achievable through the assessment results;*
7. *a "one size fits all" approach to training will not yield the needed results, rather **individualized learning plans** for each program participant will need to be created from this assessment information, and tracked over time;*

ASSESSMENT TEAM MEMBERS

Kabul Municipal Management Team

A special expression of appreciation is offered to Mayor Nawandish for his support of this assessment. An additional expression of appreciation is given to 180 members of the Mayor's Management Team who were generous with staff time on this assessment. Management Team members include the Deputy Mayors, District Managers, Deputy District Managers, Directors General and their Deputies, General Managers and Department Managers and dozens of technical and non-technical employees. Their assistance and contributions toward the improvement of Kabul Municipality is commendable. Without their participation, the effective completion of this assessment would not have been possible.

Kabul City Initiative / Tetra Tech ARD Team

The following KCI / Tetra Tech – ARD team members were instrumental in the administration, refinement and completion of this assessment:

Team 1 Members:

Robin Johnson, KCI / ARD Team Leader over Capacity Development, Public Engagement and Public Information

Mustafa Yasa, Senior Outreach & Communications Specialist

Ahmad Zia Ahmadzai, Capacity Building Manager

Departments Examined:

Construction Control, Cultural Services, Human Resources, Law Advisory, Publication, 3 Deputy Mayors & 22 Districts

Team 2 Members:

Jon Bormet, KCI / ARD Team Leader over Service Delivery

Ahmad Fahim Seddiqee, Engineer / PSD Road Specialist

Maryam Rahimi, Architect / Parks & Greenery Specialist

Departments Examined:

Greenery, Policy & Coordination, Sanitation, Streets, Urban Planning

Team 3 Members:

Richard Day, KCI / ASI Team Leader over Finance and Revenue

Mohammad Rafiq Rahimi, Senior Financial Management Specialist

Mohammad Iqbal Ahmadi, Senior Revenue Support Specialist (ASI)

Departments Examined:

Markets Control, Land Distribution, Revenue, Internal Control (Audit), Administration and Land Acquisition

Administrators

Bradly L Baxter, Deputy Chief of Party

Ahmad Waheed Ahmadi, Sr. Administrative Assistant for the Deputy Chief of Party-Technical Programs

David A Evertsen, Organizational Expert / Assessment Administrator

Special appreciation to the several translators national staff who contributed their abilities and time to this monumental undertaking. Maverick International assisted with the data entry.

ASSESSMENT RESULTS

Section I: Vital Statistics

Section I: Statistics. Administered only to 36 senior managers consisting of 22 District Managers and 14 Directorate Generals. Only one response per district office and service directorate was requested. This section was designed to gather information relating to vehicles, equipment and inventories. Results are reported below, and some sections are incomplete.

Much of the information requested exists in paper form in the directorates and district offices, in large and sometimes inaccessible volumes with a single 'gatekeeper' watching over the records, or stored in the minds of long-time employees who are often difficult to identify in large organizations. As the most senior management positions have all been filled within the last 6 months, this section was designed to force new managers to work with their staff to complete the questions. Section I asks for basic information for several reasons:

- *To allow senior managers the opportunity to access departmental employees to gather the requisite information;*
- *To allow senior managers the opportunity to report on what their directorate or district does (correctly or incorrectly);*
- *To determine the degree to which senior managers are aware of the infrastructure within their units;*
- *To determine the degree to which senior managers are familiar with challenges facing their department or directorate; and*
- *To allow the assessment team the opportunity to identify areas for greater efficiency, effectiveness and sustainability.*

Assessment results are provided below.

Total Population in Municipality (estimated): 5,000,000
Average Population in Districts (estimated): 227,000
District High: (reported) 600,000
District Low: (reported) 112,000

Current Year 1389 / Fiscal Year 2010-2011 KM Operating Budget

AFs 892,600,000 (USD: 22,315,000) **Source of Funds:** Municipal Revenue Collections

2010-2011 Developmental Budget

AFs 1,827,000 (USD: 7,480,000) **Source of Funds:** Municipal Revenue
AFs 1,772,480,000 (USD: 44,312,000) **Source of Funds:** Ministry of Finance through International Donors

Service Departments: 14 (2 pending) **District Offices:** 22

Employees (reported): 6,500 (6,950 in Taskeil) **# Senior and Mid-Management Employees (reported):** 160

Employee Gender Distribution (management):

<u>Position</u>	<u>Men / Women</u>	<u>%</u>
# Directors General	16 / 2	12.5
# Deputy Directors	14 / 2	14.3
# General Managers	76 / 8	10.3
# Managers	164 / 24	14.6
# Supervisors	53 / 3	5.7
#Technicians	261 / 23	8.8

Employee Age Distribution:

<u>Age Category</u>	<u>18-24</u>	<u>25-34</u>	<u>35-44</u>	<u>45-54</u>	<u>55-64</u>	<u>+65</u>
(Respondents)	2	8	28	48	27	0

Employee Length of Service: **Average Years:** 6.15 **Average Months:** 5.5*
Shortest: 2 months (several) **Longest:** +19 years (4 managers)

Employee Formal Education: **College or University Degree¹:** 80 (50%)

93 (58%) Project Management
55 (35%) Human Resource Management

<u>Paved</u> (reported):	200,000 M / 200 KM**
<u>Kilometers un-Paved</u> (reported):	600,000 M / 600 KM**

Daily Refuse Generated (reported): 3,500 c/m^
Daily Refuse Collection (reported): 1,500 c/m^

¹ Degrees: wide variety (see Section III-C: Management Capacity)

[^] Provided by Wahid A Ahad, Technical Deputy Mayor, June 2010.

Employees

(31 responses from Districts and Directorates)

Inventory: Twenty-five of thirty-one employees responded that they maintain a list of all employees in their department or district; though during our site visits, we were unable to validate even one copy of an employee list.

Vacant Positions: Seventeen managers (55%) reported vacancies in their department or district and the reasons they are currently not filled. According to managers who responded, the most significant reason for the vacancies not having been filled yet was “the vacancy has been announced, and the position is going to be filled.” Other reasons cited include “low salary”, “retirement of the previous employee”, and “the position hasn’t been posted yet”. 4,918 of the approved 5,107 (Tashkiel approved) are filled. Although not all districts / departments responded, it is possible that this 4% vacancy rate could exist throughout all departments and districts. While this number may not be significant, further examination might be useful.

Why vacancies haven’t been filled	
# Responses	Reason
12	vacancy is announced, position is going to be filled
6	low salary is to blame
3	retirement
2	vacancy hasn’t been introduced (published) yet

Total Management Employees: Managers were asked to identify themselves by position, and as either man or woman. They were also asked to report the number of employees in supervisory and technical positions in their respective departments. Of the managers who responded (and all departments and districts have been accounted for, 584 (89%) managers were men, and 62 (11%) were women.

Women: The Mayor has expressed his desire to implement strategies in improving overall Gender and Youth – in management and throughout all facets of the municipality. The assessment results indicate that 11% of employees currently serving in Management positions are women. In discussing out preliminary findings regarding Gender and Youth with his Honorable Mayor, we learned that the Mayor continues to make efforts toward appointing women to management positions. Specifically, he has made attempts to offer management positions to women with two results occurring: (1) acceptance of the appointment, or (2) rejection of the appointment due to the individual feeling inadequate for the appointment.

Position	Men / Women	%
# Directors General	16 / 2	12.5
# Deputy Directors	14 / 2	14.3
# General Managers	76 / 8	10.3
# Managers	164 / 24	14.6
# Supervisors	53 / 3	5.7
#Technicians	261 / 23	8.8

Employee Age Distribution: Managers were also asked to identify their age category. As illustrated, 67% of managers are over the age of 45, and a significantly less number of managers are between the ages of 18 and 34 are. While providing no recommendations on an optimum number of employees by age category is provided in this report, this information lends itself to reflection regarding the risks and rewards a significantly aged workforce.

Employee Age Distribution						
Age Category	18-24	25-34	35-44	45-54	55-64	+65
(Respondents)	2	8	28	48	27	0

As many managers can recall detailed information from memory, the lack of a data storing and sharing technology puts the municipality at risk by its inability to capture important institutional knowledge for future use. Age and decreased potential for longevity also presents challenges for both immediate employee capacity, and the sustainability of capacity-building (training) efforts.

Youth: The Mayor has recently announced an initiative to increase hiring of new College Graduates who are among the top 10 in each class who possess degrees and variety of modern technical skills to fill vacancies in all departments. According to the Mayor, he desires to appoint more women to management positions but is concerned with the lack of credentials or capability in some (not stated) positions.

Employee Length of Service: This assessment also illustrated potential problems related to short length of service by management employees.

As discussed further in this report, 75% of managers indicate that salaries are too low to retain skilled staff, 43% indicate having participated in work study tours outside of Afghanistan and more than 50% of managers have university degrees. As managers receive training and professional certifications, they may be likely to use those skills as much for professional development as much if not more than applying it to the betterment of the municipal government. Lack of longevity in senior managers (Directors General and District Managers) presents challenges for sustainable institutional capacity-building (training) efforts.

Employee Length of Service	
Average Years: 6.15	Average Months: 5.5*
Shortest: 2 months (several)	Longest: +19 years (4 managers)

Observations & Validations: The municipal pay system consists of five (5) pay grades within in two (2) classifications. Loosely described, classifications include: (a) *Professional* and (b) *non-Professional*. **Professional** grades include *Senior Management, Department (Mid-level) Management, and Technicians*. **Non-professional** grades include *Administrative Assistants, Drivers*, and Teamen / Messengers*. (*Drivers are paid the same as Teamen and Messengers, but receive overtime pay)

- The Mayor has stated that he is aware of the Gender and Youth issues within the Municipality. He continues to offer appointments to women, but does not appear to have produced a formally adopted a policy or initiative in this area;
- Most departments or districts showed us paper copies copy of their employee lists, though we were never able to obtain the comprehensive Tashkiel (master list of all employees on payroll) to match department / district records for accuracy. All personnel payroll records in district offices and most directorates are manually entered and stored ‘on paper’ and need to be stored, digitized and maintained electronically;
- Job Descriptions city-wide lack detailed requirements for education level, skills, years of experience and are not tied to compensation;
- Most employees claim and demonstrate a lack of technical skills necessary to perform the duties of their current assignment (technical, management and non-management alike). Employees performing financial and urban planning functions tended to demonstrate a greater level of competence and skill across all departments and districts.

Equipment & Inventory: Vehicle

(31 responses from Districts and Directorates)

Asking for information relating to vehicles was intended to determine the degree to which District Managers and Directors General are aware of the mobile assets that they use. Responses would illustrate the range of district management capacity.

Inventory: Number of Vehicles: 61% of departments or districts claim to maintain a list of all vehicles. Most of these records are on paper, and are not utilized as part of an ongoing maintenance or replacement program.

Note: Partial inventories are available in the Data Annex of this report.

Typical Vehicle Issues: Not enough vehicles (21 Vehicles beyond repair(8) Not enough qualified mechanics(7) Other(4) Comments related these responses to the other 3 issue types.

The tables to the right are part of a comprehensive list of passenger and heavy vehicles which was assembled by the assessment team during this assessment process. Complete lists can be found in the Data Annex attending this report.

Observations & Validation: From information gathered on-site, it appears that most DGs and District Managers have a municipality-provided take-home vehicle (generally a Toyota Corolla) and driver. It appears that the number (and potential expense to the Municipality) could be significant. Total (accurate) number of take-home vehicles the municipality owns is not known at the time this assessment was completed, though we have discovered that the Transportation Manager in the Administrative Services Department is responsible for this information. *(See Data Annex for more information).*

From information gathered on-site, there is a severe shortage of the number and quality of heavy vehicles. In most districts, less than half of the dedicated vehicles never arrive, and District Managers are growing concerned about service delivery in the District. For example, the Sanitation Directorate has approximately 120 vehicles – ½ of which are in disrepair and most of which are more than 50 years old. This directorate alone needs approximately 200 additional vehicles. Because the distance to the landfill is approximately 35 kilometers, and no transfer stations have been built, Sanitation vehicles often spend more time in transit rather than picking up garbage. In the Streets Directorate, there are a lot of vehicles, and a large variety of vehicles – posing a problem in acquiring spare parts and having enough qualified mechanics to work on the variety of vehicles.



In Streets, Sanitation and Greenery Directorates, specialty equipment, such as paving equipment, trash collection vehicles are not maintained effectively, and weekly checks by technicians are not performed due to a lack of technical ability and training. Newly donated computerized street paving equipment sits idle because no-one has the technical skills to operate it, and manuals are in English, not Dari or Pashtun.

Directorate employees complain that many of the vehicles and equipment donated are not from within the local or regional market – which means that spare parts and skilled maintenance is very difficult. One truck from India requires spare parts be bought from Dubai or India – rather than in Kabul. Some equipment is donated to Kabul Municipality by vendors (and military) who could no longer use it, but is often incompatible for use in a civil (non-military) environment. In some instances, vehicles donated *“should have gone straight to the junk yard”*.

Equipment & Inventory: Streets & Rights-of-Way

(31 responses from Districts and Directorates)

Asking the District Managers to provide information relating to streets was intended to determine the degree to which District Managers are aware of the infrastructure within their district boundaries. Just as they are responsible (in part) for the collection of property taxes in their district, familiarization (or lack of familiarization) with the volume and quality of streets would illustrate the range of district management capacity.

Inventory: Managers were asked whether their department or district maintains a list (inventory) of streets and public rights of way. 9 of 31 managers responded that they maintain an inventory of all streets and public rights-of-way, but only 6 were able to produce some information which could be examined and validated. This does not mean that such information doesn't exist, it simply means that either having such information was not deemed necessary to the performance of the managers duties or that the information was not readily available. Surprisingly, only 2 of the District Managers responded. Oddly, the Sanitation Department (rather than the Streets Department) provided the most comprehensive and complete accounting of streets and rights of way.

When asked why a streets inventory has not been completed, responses included:

- "we don't have enough equipment to do this"
- "we don't have enough qualified engineers"
- "the information can be verbally provided"
- "it's not a priority", and
- "this is not related to our department."

Note: Partial inventories are available in the Data Annex of this report.

Observations & Validation: Only a few departments (including the Streets Department) could produce reliable written information such as street kilometers, street width, surface types, depth of materials, or date of construction. When asked about various projects within the district or city, most managers who were able to provide information relating to streets in did so from memory. During our site visits, volumes of hand-written records on previous street projects exist, but are not organized and categorized in a manner to be shared in a comprehensive planning or maintenance forecasting effort. The decision-making process of determining which streets get improved needs to be clarified in writing. A



Total 'Lane Kilometers' of Paved Streets:

Department / District #	Lane KM of Paved Streets
Districts 1-3, 5-19, 21-22	no response
#4	31,000 M / 31 KM
#20	31, 078 M / 31 KM
Media Directorate	11,400 M / 11.4 KM
Law Consultancy	20,000 M / 20 KM
Urban Planning Department	5,000 M / 5 KM
Sanitation Department	200,000 M / 200 KM*
Streets Department	no response

Total 'Lane Kilometers' of Unpaved Streets:

Department / District #	Lane KM of un-paved Streets
Districts 1-3, 5-19, 21-22	no response
#4	5,000 M / 5 KM
#20	31, 078 M / 31 KM
Media Directorate	"Project is under change"
Law Consultancy	20,000 M / 20 KM
Urban Planning Department	20,000 M / 20 KM
Sanitation	600,000 M / 600 KM *
Streets Department	no response

** Appears to be the most reliable and comprehensive.*

comprehensive Street Maintenance schedule does not appear to exist. The municipality's street patching capacity consists of one crew of 8 individuals - sent out on an 'as needed' basis. This crew does not appear to follow a Street Maintenance schedule. As the municipality spends 97% of its \$10,000,000 street construction budget to contract with the private sector, if this Public-Private Partnership continues, capacity-building in the Streets Department could be rendered ineffective.

Because of their closeness to the citizenry, the issues, needs and problems facing residents, businesses and industry within the district, we would expect district managers to be more familiar with the needs of the residents of the city than other departments or senior managers. Districts and district managers may not be aware of the value they play in municipal operations.

Equipment & Inventory: Public Buildings & Facilities

(31 responses from Districts and Directorates)

Inventory: 6 of 31 (19%) of the managers who responded reported having an inventory of publicly owned facilities. This does not mean that such information doesn't exist, it simply means that either having such information was not deemed necessary to the performance of the managers duties or that the information was not readily available.

Public Buildings & Facilities

Department / District	Type of Building or Facility	Sq/Meters	Age	Status / Condition
Urban Planning	Maintenance	1,114	1964	Poor, needs electrical wiring
Policy & Coordination	Maintenance (Prke-e- Zar Niar)	900	1880 (Appx.)	Good (It is historical building)
Sanitation	Work shop	500	2009	Functioning, lacks equipment
	Auxiliary Building for Administration	160	1970	Functioning, needs repairs
	Main Administration Building	140	1970	Functioning, needs repairs
District 7 ?	Maintenance Yard	25,620	1970	N/A
District 7	Tarakhil Asphalt Plant	732,344	1990	Poor, needs

Buildings maintained by the departments: Only 19% of the managers who responded, reported their department or district was responsible for maintaining their own facilities.

Principal facility problems: The main issues or problems with their facilities included

- "Not enough space (29%)"
- "Too old/beyond repair (13%), and
- "Not enough Maintenance (13%)
- "We need a conference room" and "our building was not designed for an Engineering Department" were among other comments

Note: Partial inventories are available in the Data Annex of this report.

Observations & Validation:

- The Parks and Greenery Department was the most prepared to provide information regarding the public facilities it was responsible for managing. The information was not only complete, but detailed and current. Some departments and districts have provided limited information.
- Unreliable power at most facilities – most of our site visits were conducted without lights, heating or air conditioning. Wiring was often exposed or substandard. Providing electronic equipment to the municipality without reliable power becomes a very challenging proposition. KCI is limited in its donation / deployment of equipment by the environmental capacity and constraints of the municipality's physical facilities. The Greenery department moved into a newly constructed building 1 year ago, yet it still has no connection to power. The municipal building (until recently) was without power for several hours every day.



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- Physical office spaces were often seen filled with equipment and desks. Most departments appeared at or beyond capacity, but some empty desks were observed. It was unclear if employees were absent or simply non-existent.
 - Streets department has excess land and underused maintenance facilities, but far less equipment than its contemporary, the Sanitation Department. The Sanitation Department is **over capacity** in both office space, on-site vehicle and equipment storage, and maintenance facilities.
 - Construction Laboratory and staff capacity for soil testing, materials testing, compaction, and a variety of assessment and monitoring tools is absent.
 - Nearly all departments are at capacity – not enough room for employees to work. Audit, Internal Audit and Internal Controls, Sanitation, Streets, Municipal Building all have poor working environments (poor water, power, space) necessary for employees to be able to work effectively. Offices observed in several site visits were dark and dirty, very small rooms. Many offices are not municipality-owned but rented. The Internal Audit department – which had money in their budget for 2 years to buy land and build an office, but aren't using the money because they both lack the capacity to see this through and continue to focus on their core functions (commendable, but disappointing). Municipal leadership needs to understand that the 30-years of growth, without construction of sufficient buildings and office space are having a significant impact on directorate, department, and employee ability to perform basic functions. Hiring additional employees (interns as referred to by the Mayor) will be problematic because there is no space in these departments.



Equipment & Inventory: Information & Communications Systems

(31 responses from Districts and Directorates)

Inventory: Only 9 of 31 (27%) responses indicated that the department or district maintained a list of their communications tools. This does not mean that such information doesn't exist, it simply means that either having such information was not deemed necessary to the performance of the managers duties or that the information was not readily available.

The IT Department does not maintain a list of all electronic equipment throughout the Municipality. He is aware of the need to inventory this equipment, but has been unable to do so to date for the entire municipality.

No comprehensive inventory of the Municipality's electronic equipment is available.

Phones: 16 of 31 (52%) of the managers who responded indicated that they have or use KM-supplied phones. 68% use those phones them daily. While the municipal building offices contain wireless desktop phones, personal mobile phones (rather than the desktop ones) are used heavily. The use of personal phones, while convenient, places an unnecessary personal financial burden on the employee, who is responsible for purchasing 'top-up' cards with personal funds. As stated further in this report, text messaging (SMS) is not used to communicate. (See also *Internal & External Communication*).

Note: The information on actual numbers of desktop and mobile phones was incomplete and not included in these results.

Computer Use: 14 (27%) of all senior managers reported they have or use a Kabul Municipality-supplied computers, and 58% of managers with computers indicated they use them daily. Our site visits witnesses very few computers on desk, and personal computers were often used by managers, with limited internet access via wireless USB attachments. Though many buildings have been wired, municipality currently has no electronic network in place.

Departments and Districts who have Communications Systems

Tool	# Desktop	# Mobile	Provider	Used daily?
<i># Responses in Bold</i>			<i># Responses in Bold</i>	<i># Responses in Bold</i>
16 Phones	<u>N/A</u>	<u>N/A</u>	18 City 2 Donor 6 Self	21 Yes 10 No
14 Computers	<u>N/A</u>	<u>N/A</u>	15 City 4 Donor 2 Self	18 Yes 13 No
9 Printer/Plotter	<u>N/A</u>	-	12 City 2 Donor 1 Self	12 Yes 19 No
9 Copiers	<u>N/A</u>	-	10 City 1 Donor 2 Self	10 Yes 21 No
5 Radio System	0	5	4 City 2 Donor 0 Self	5 Yes 26 No
3 Scanners	<u>N/A</u>	-	3 City 2 Donor 1 Self	5 Yes 26 No



Printers, Plotters, Copiers and Scanners: 9 manager responses indicated they have or use KM-supplied Printers or Plotters, and 39% use them daily. 9 manager responses indicated they have or use a KM-supplied Copier, but only 32% use copiers daily. 9 manager responses indicated they have or use Scanners, but only 16% use them daily.



Radio Systems: 5 managers responded that they have or use some form of Radio Communications system, but only 16% use these radios daily. After close examination of these radio systems, Greenery, Streets, Urban Planning, Information Technology and Sanitation departments all had small short range, hand held radios for use on-site, which were considered “very useful”. No department has or uses a long-range radio communications system – a fixed transmission base with radios in each vehicle. This is particularly important because many of the municipality’s Streets, Greenery and Sanitation vehicles are constantly on the road and ‘in the field’ and other than personal mobile phones (which require individuals to purchase prepaid ‘top-up’ cards) there is no reliable or affordable alternative. While investigating the potential for a more robust radio communications dispatch system for the Streets, Greenery and Sanitation, we were informed that the local radio spectrum is completely occupied by commercial and military use.



Principal facility problems: The main issues or problems with communications tools are”

- “Not enough equipment (51%)”
- “Too old/beyond repair (19%), and
- “Not enough Maintenance / Technicians who can fix it (19%)
- “We need a conference room” and “our building was not designed for an Engineering Department” were among other comments, and
- “Most computers are used, old”

Problems with Communications Tools:	
# Responses	Response Type
16	“not enough equipment”
6	“equipment beyond repair:
6	“not enough maintenance / technicians”
4	“other”

Computer Training: 27% of managers who responded indicated that computer training was provided or facilitated by their department / district. During site visits, we observed the IT Department and several departments with make-shift classrooms – some with computers and some with only desks (students brought in their own laptop computers). While few managers have and use email for personal use (email is not available throughout the Municipality). Email communication is the among highest priority of municipal managers – second only to the need to improve low employee salaries. 68% of responses stated that the municipality or the individual provided the training equipment.



Communications Strategy: Site inspections and conversations the IT Manager determined the need for, and absence of a comprehensive, municipality-wide communications strategy. As donors continue to provide computers and other electronic equipment to the municipality, it is critical that an initial inventory and maintenance plan be put in place, then the development of a long-term strategy for maintenance, operation and transitioning of the network hardware, software, phones and radio systems.

Observations & Validations: While conducting an on-site examination of computer and telephone equipment, a patch-panel with network and telephones switches was found. Upon further examination, it appears that nearly all offices at the Municipal Building were previously pre-wired with network cabling, and most of that wiring is still in place. Microtel desktop phones appear to be 5.8GHz wireless with many features, but the on-site switch is connecting off a copper transmission line. It does not appear that the municipality has a central operator or phone system is PBX capable which would allow for incoming callers to receive a menu of options, information and transfer capability.



Equipment & Inventory: Other Equipment

(31 responses from Districts and Directorates)

Inventory of equipment: Only 29% of managers who responded reported maintain a list of all equipment. Some information was observed in each department, either on paper or in the memories of specific employees. Unfortunately, this information is not generally recorded and is not available when the individual 'gatekeepers' are out of the office or otherwise unavailable. Information is generally not shared 'without permission', making decision-making difficult, inefficient and ineffective. Example, it was mentioned that if the Sanitation Director is out of the office, all the employees are unable to get information necessary to make decisions.

Sanitation: Having recently received 1800 garbage dumpsters (1500 1 cu/m + 300 7 cu/m) an inventory or locations of 1800 recently donor-provided trash containers was expected, and missing from the manager's results responses.



Typical equipment Issues: Not enough equipment (9) Not enough qualified mechanics (3) Equipment beyond repair (3) Other (3)

Observations & Validations: none

Other Equipment

Department	Type	# Equipment	Age	Status / Condition
Urban Planning	Total Station	5	2002	Excellent Condition
Urban Planning	Level Machine	2	1995	Excellent Condition
Urban Planning	Theodolite	2	1980	Poor Condition
Urban Planning	Theodolite	2	1990	Poor Condition
Police & Coordination	N/A	N/A	N/A	N/A
Greenery	Compactor	1	1990	Working Order
	Generator	1	1990	Out of Work

Trash Containers

District / Department	Item	Total #	Condition
District 19	1cu/m Trash container	17	undetermined
District 4	1cu/m Trash container	8	poor
Human Resources??	1cu/m Trash container	35	Good
Human Resources??	1cu/m Trash container	48	Good
Greenery Department	1cu/m Trash container	153	undetermined
Policy & Coordination	1cu/m Trash container	132	undetermined
Maintenance and Works	1cu/m Trash container	5	excellent

**Sanitation Department did not report having an inventory or locations of 1800 recently donor-provided trash containers.*

Section II: Institutional Capacity

Section II: Institutional Capacity. Administered to 55 Senior Managers consisting of 16 Directors General, 14 Deputy Directors General, 22 District Managers and 3 General Managers. One response manager was requested. This section was designed to examine the internal systems, tools and processes, determine what is in place, and determine how they can be improved to increase effectiveness, efficiency, and sustainability.

Questions were designed with the understanding that the information requested might be unfamiliar to new senior management. Section II asks for basic information from each directorate and district for several reasons:

- *To determine whether senior managers understand which of the various functions and activities are performed (or not performed) within their unit,*
- *To demonstrate whether senior managers understand the important relationships between directorates and districts,*
- *To determine how well the directorates and district perform these functions and activities,*
- *To determine whether standard operating procedures exist, and*
- *To allow the assessment team the opportunity to identify areas for greater efficiency, effectiveness, sustainability and training.*

Assessment results are reported below.

Communication & Collaboration: Internal Communication

(54 responses from DGs, Deputy DGs and District Managers)

Internal Communication: 46 (85%) of the managers who responded, indicated that internal communication is ‘regular and frequent’, with ‘written communication’ as the principal means above all other communication methods.

Principal Means of Communication: Of the managers who responded, 65% listed “written communication” and 20% listed “face-to-face” as the principal means of communication within the districts and departments. Despite heavy use, only 15% listed mobile phones as their principal means of communication. Text messaging and email received no mention.

<u>Principal Means of Internal Communication</u>	
<u># Responses</u>	<u>Response Type</u>
35	Written Communication
11	Face-to-Face
8	Mobile Phones
0	SMS –Text / Email

Standard Operating Procedures: 40 (74%) managers responded that have / follow Standard Operating Procedures SOPs. Through discussions and site visits to various departments and districts, formally written policies do not exist. Communication procedures are institutionalized tradition without written guidelines. As commented by one manager “*there is no [written] procedure*”

Internal Communication Effectiveness: Managers responded to the question of effective internal communication.

- “Poor” 0%
- “Improving” 26%
- “Good” 44%
- “Excellent” 20%

Communications Tools: Official communication in all departments is entirely reliant on a formal, written format. Written communication Informal and personal communication tends to be mobile phones. Despite this trend and tradition, managers believe that traditional communication methods will be significantly enhanced with electronic means. Introduction of electronic communications tools are in high demand, second only to higher salaries.

Observations & Validation: Onsite visits to directorates and districts illustrated a constant face-to-face and written communication required to conduct minute-to-minute business of the municipality. While some managers are able to manage the affairs of their units, many appear to spend a majority of their time performing high-level clerical work of signing documents and dictating correspondence, rather than administering the many other needs of the directorate or department.

Communications & Collaboration: External Communication

(54 responses from DGs, Deputy DGs and District Managers)

External Communication: 75% of manager responses indicate written communication is supreme in external communications. 82% responded that they communicate regularly or frequently with external (non-municipal) agencies and individuals – both public and private.

External Communication Effectiveness: Managers responded to the question of effective external communication.

"Poor"	2%	"Improving"	33%
"Good"	43%	"Excellent"	13%

Principal Means of Internal Communication	
# Responses	Response Type
41	Written Communication
10	Mobile Phones
3	Face-to-Face

Note: the response of 35% of managers rating external communication as "poor" and "improving" is significant.

Observation: Communication between government agencies and department / district officials are almost always written – in duplicate or triplicate. External communications are described as an 'unofficial postal system' requiring documents to be 'registered' when receiving and sending communications. When communication is received from external agencies or the public, it is immediately logged in and signed for by the recipient. A significant problem observed was the volume of written transmissions, and the inability for managers to respond in a timely manner. Transmission of written communication must be stamped by the Directorate Manager – even if it's a note to the DG, the document gets formally recorded. Approvals require multiple signatures (4 or 5 per document is common), which takes significant time to process in every department. Despite the manual communications system, each department maintains a well-established (non-electronic) archival system of records and correspondence which appears to work quite well in what it intends to accomplish.

Communications Tools: Official communication in all departments is entirely reliant on a formal, written format. Written communication Informal and personal communication tends to be mobile phones. Despite this trend and tradition, managers believe that traditional communication methods will be significantly enhanced with electronic means. Introduction of electronic communications tools are in high demand, second only to higher salaries.

Standard Operating Procedures: 65% of managers who responded indicated that the method of communication they use is dictated by a written SOP. Through discussions and site visits to various departments and districts, formally written policies do not exist. Communication procedures are institutionalized tradition without written guidelines. As commented by one manager *"there is no [written] procedure"*

Observations & Validation: None Observed.

Communications & Collaboration: Public Participation

(55 responses from DGs, Deputy DGs and District Managers)

Creating public participation: 72% stated that their department or district is actively creating opportunities for public participation. Some departments responded though their department does not interact directly with the public. Many district managers commented about desiring to have weekly meeting with the public and also specifically meeting with the public when they are implementing a new plan in the field.

Methods of participation: 53% interacted through district meetings. 15% communicated through their district representative. Another 15% preferred face to face meetings.

<u>Principal Way the Public Participates with your</u>	
<u>Department or District</u>	
<u># Responses</u>	<u>Response Type</u>
25	District Meetings
7	Face-District Representative
7	Face-to-face
5	Other: Newspaper, Wakil,
3	Contact the Mayor

Effectiveness of participation efforts: 70% stated efforts are good or excellent while 23% stated efforts are improving.

Planned increases in participation: 72% stated they plan to increase their public participation efforts. Many are planning more meetings with the public and have also stated that they want the public to be more involved in their community.

Standard Operating Procedures: 58% of responses stated that they follow written processes or SOPs for these activities. Some indicated that there were no SOPs available. We were unable to observe any written policies on public participation

Observations & Validation: Unlike communities with elected councils or commissions, there are no meetings in Kabul Municipality which permit the general public to participate or observe other than special events, The budget process is not participatory and viewed by many department and district managers as being exclusive Several department / district managers expressed concerns the lack of inclusion in the budget, planning and decision-making process.

Manager comments regarding the project planning process was that it *“is not participatory”* and there is no public participation in the project Planning or Budgeting functions. Financial information is not publicized as this data is historically private. In the next 12-24 months, KCI intends to increase publication and transparency in this process.

Because most large group meetings are conducted in rented hotel conference rooms, and can be costly if frequent. There is limited space for small meetings in most departments and districts, and almost no publicly-owned space for large group meetings. As public participation increases, consideration needs to be given to the availability of space and suitable locations in the districts and departments was

Communications & Collaboration: Public Information

(51 responses from DGs, Deputy DGs and District Managers)

Is providing information to the public necessary? 90% stated that is important to provide information about their department or division to the public.

Is information currently being provided? While we were only able to observe a handful of departments and districts venturing out independent of a municipality-wide strategy or policy, 82% stated they are currently providing information to the public through a variety of means:

<i>Community Councils</i>	<i>31%</i>	<i>Newsletter</i>	<i>24%</i>	<i>Television</i>	<i>24%</i>	<i>Face-to-face</i>	<i>22%</i>
<i>Printed Handouts</i>	<i>6%</i>	<i>Local Newspaper</i>	<i>6%</i>	<i>Radio</i>	<i>4%</i>	<i>Internet</i>	<i>2%</i>

Principal Means of Communication with the Public:	
Television (27)	Community Councils (21)
Face-to-face (8)	Printed Handouts (4)
Radio (4)	Newsletter (4)
Local Newspaper (3)	Other: Meetings (2)
Internet (1)	Test Message(0)

Standard Operating Procedures: 86% of managers who responded indicate they follow written processes or SOPs for these activities. Unfortunately, we were unable to observe or view any written policies or procedures relating to public information.

Frequency of Communication: 34 out of 48 (67%) state that they communicate at least regularly with the public. 2 managers stated that they never communicate with the public.

Communication Methods "most needed":	
Television (27)	Community Councils (21)
Face-to-face (8)	Printed Handouts (4)
Radio (4)	Newsletter (4)
Local Newspaper (3)	Other: Meetings (2)
Internet (1)	Text Message(0)

Effectiveness of public information efforts: 65% stated efforts are good or excellent while 30% say efforts are improving.

Communication tools "most needed ": Managers were asked to identify the public communications means most needed by the municipality:

<i>Television</i>	<i>51%</i>	<i>Community Councils</i>	<i>41%</i>	<i>Face-to-Face</i>	<i>16%</i>	<i>Printed Handouts</i>	<i>8%</i>
<i>Radio</i>	<i>8%</i>	<i>Newsletter</i>	<i>8%</i>	<i>Local Newspaper</i>	<i>6%</i>	<i>Other</i>	<i>6%</i>

Planned increases in public communication efforts: 69% stated they plan to increase their public communication efforts. Many plan to launch TV programs to increase communication.

Observations & Validation: While the department and district managers are using a variety of mediums to share information with the public, it is being done on a completely independent basis, using small amounts of departmental and district operations budgets, with no formal municipal public information strategy in place. Examples include:

- *The Human Resources Department using television, newspapers, radio and public bulletin boards behind the municipality to post employment vacancies;*
- *The Sanitation Department Director General paying for television, newspaper, radio spots to inform the public about sanitation efforts;*

-
- *The Cultural Affairs Department sending out flyers to inform residents of activities and events such as movies, and zoo events*
 - *The Pamir newspaper, produced and published twice per week by the Publications Department, utilizes with a staff of journalists, 3 former television reporters, and 1 graphic designer. The paper has a circulation of 8,000 copies – 3,000 to government officials (employees, and members of ministries, and NGOs) and 5,000 to residents who pay for annual subscriptions. The paper also serves as a publisher of ‘legal notices’.*
 - *The assessment illustrated that a majority of managers echoed the Mayor’s call for increased broadcast capacity stressing the need to build and / or own a television station to produce and broadcast municipally-produced materials as part of a strategy to increase the municipality’s public information capacity in.*

Communication and Collaboration: Public – Private Partnerships

(48 responses from DGs, Deputy DGs and District Managers)

Private Partnerships: 58% of department and district managers responding are working through private partnerships to improve services. Some managers indicated that they did not look to private partnerships because it is not part of their job description.

Types of Public-Private Partnerships	
Construction (10)	Infrastructure Improvements (8)
Project Management (8)	Contract for Services (6)
Equipment (6)	Information (4)
Volunteers (2)	Billing/Funds Collection (1)

Types of Partnerships: 37 % of managers who responded are involved in partnerships for construction or infrastructure improvement projects. 17% use public-private partnerships to assist in project management, 13% for equipment, and 12% contract out for other services.

Frequency: When asked how often their department or district uses public-private partnerships to help them improve and deliver services.

Effectiveness of private partnership efforts: 58% stated efforts are good or excellent while 24% say efforts are improving. Many indicated that municipal TV programs are strengthening their partnership with the private sector.

Planned increases in public communication efforts: 70% stated they plan to increase their public communication efforts. Many are trying to increase the quality and quantity of communication methods.

Standard Operating Procedures: 82% of responses stated that they follow written processes or SOPs for these activities. Some indicated that there were no SOPs available. Unfortunately, we were unable to identify a single written policy or procedure regarding Public – Private Partnerships.

Observations & Validation: According to the DG of Streets, the municipality spent \$ 9.7 million of its \$10,000,000 street construction budget on private sector contractors, and only \$300,000 of the construction budget went to the department. The DG of the Street Department indicated a strong desire to rebuild his department - to utilize the street paving and milling equipment this department has received, and train his staff in various types of equipment and construction methods. His concern that a continued reliance on a public-private partnership (contract for services) is diminishing his department's ability to build capacity internally.

Policies & Operating Procedures: Finance

(48 responses from DGs, Deputy DGs and District Managers)

Asking managers to provide information relating to financial functions performed in their district or directorate is intended to determine how broadly and frequently financial functions are performed, whether appropriate law or procedure is being followed and whether written procedures are evident. The table to the right illustrates this information.

Activities or Functions: Assessment results tell us that **various** financial functions are being performed in several departments and districts, but not being performed with consistency. All districts, for example, are responsible for Tax Collection, though only 11 of 44 District and Deputy District Managers acknowledged performing this key function. This broad, inconsistent understanding of financial responsibilities should be examined carefully. *These functions may need to be controlled, streamlined, or centralized.*

Activity or Function (Number is total responses)	Frequency [^] (i.e. Daily, Weekly, etc)	Required by Law or Policy (Y / N)	Policy Name / Issued by / Date (Name of Law and # of manager responses)	Standard Operating Procedures (Y / N)
22 Payroll	M (18), Once (2)	23Y 28N	Payroll Law (4), Municipalities Law (13)*	13Y 38N
16 Monthly Expenditure Reports	M (9), ½ Year (1)	13Y 38N	Municipality Law (9)*	7Y 44N
15 Issuance of Fines	Y (2), M (1), D (6)	17Y 34N	Municipality Law (1)*	9Y 42N
14 Land Registry / Appraisal	Y (1), W (2), D (4)	13Y 38N	Municipality Law (2)*	8Y 43N
14 Charge / collection of fees	Y (1), M (2), D (7)	15Y 36N	Municipality Law (1)*	9Y 42N
13 Purchase Goods/Services	Y (3), M (3), D (2)	8Y 43N	Municipality Law (7)*	7Y 44N
13 Receiving / issuing payments	M (7), D (3)	11Y 40N	Municipalities Law (7) *, Subcontractor Law	10Y 41N
12 Cash management	Y (2), M (3) D (2)	9Y 42N	Municipalities Law (9) *, Audit Law	10Y 41N
12 Tracking Expenditures	D (9),	12Y 39N	Municipality Law (13)*, Admin. Procedures(3)	8Y 43N
11 Tax Collection	Y (1), M (2), D (6)	9Y 42N	Municipality Law (3)*	7Y 44N
11 Bank Deposits& Reconciliation	W (1), D (5)	12Y 39N	Municipality Law (5)*, Municipal Plan	6Y 45N
10 Inventory / Asset Management	Y (9)	8Y 43N	Municipalities Law (11) *	9Y 42N
10 Audits	Y (5), M (2), D (3)	9Y 42N	Central Government, Municipality Law (3)*	6Y 45N
9 Budget Preparation	Y (7), M (2)	11Y 40N	Municipalities Law (4) *, Donor Policy (3)	5Y 46N
9 Prepare RFPs	Y (6), as needed (4)	9Y 42N	Subcontract Files Law (5), Municipal Law (4)*	5Y 46N
5 Other:	Q (3), D (1)	6Y 45N	Municipality Law (9)*, District Plan	4Y 47N

[^] Daily (D), Weekly (W), Monthly (M) or Yearly (Y).

* includes combined responses of "government law" and "Municipality Law".

Standard Operating Procedures (SOPs): Reducing the potential for corruption requires the application of strict and clear policies and procedures. As the assessment results show, there is an inconsistency in among management as to whether standard operating procedures for these financial functions exist. While acknowledging the importance of financial planning, few managers were able to identify which financial plans are required. Equally few indicate that financial plans are present, effective, or efficient.

Law and Policy: Most managers understand that financial functions are almost always regulated by specific laws and or policies. Knowing which laws and policies guide financial operations such as tax collection, audits and land registration are critical to reducing corruption and increasing

financial management capacity. Most managers appear to understand the importance of the Municipalities Law, and cite it frequently as the legal guide for financial operations. Unfortunately, there are several more policies, laws and guidelines which have been omitted.

Note: The Kabul Municipality Control and Audit Office works in collaboration with the Internal Audit Department to conduct an annual audit. The main aim of this audit is to ensure the municipality complies with the applicable laws and regulations

Effectiveness of finance performance: 44% stated efforts are good while 49% say efforts are improving. Responses were positive on the fact that finance will be computerized in the near future. Only 46% now use computers to perform financial functions. Many stated that the current procedures have too much bureaucracy and documentation.

Observations & Validation: Onsite visits to various departments and districts found few written policies and procedures for finance, licensing and permitting, human resources, and public information functions. Thousands of pages of records are kept and available for viewing, but in many departments and districts, this information is difficult to understand without the assistance the one or two individuals who collected this data. As a consequence, most management personnel performing financial functions often differ in their understanding of what procedures and standards they are required to use because such activities are not broadly understood or held in common. Financial plans and budgets rarely extend beyond one year, and 3-year financial statements, development budgets, and asset depreciation schedules are lacking or very difficult to find.

One manager in District 7 was a ‘walking computer’ who kept detailed financial / program records going back 3 years. It was difficult to find him, but when asked questions about a variety of financial records he recalled much of the information from memory including details of times, dates and money amounts. What he couldn’t recite from memory, he referred to in his ledger which never leaves his side..

Policies & Operating Procedures: Human Resources

(52 responses from DGs, Deputy DGs and District Managers)

Asking managers to provide information relating to human resource functions performed in their district or directorate was intended to determine how broadly and frequently these functions are performed, whether appropriate law or procedure is being followed, whether written procedures are evident, and if service delivery improvements are necessary. The table to the right illustrates this information.

Activities or Functions: Assessment results tell us that various Human Resource functions are being performed in several departments and districts, but not with consistency. All districts, for example, participate in some form of job description preparation and employee timekeeping, though less than 23 District and Deputy District Managers acknowledged performing these key function. This broad, inconsistent understanding of human resource responsibilities puts the municipality at risk and creates organizational inefficiencies. *These functions may need to be controlled, streamlined, or centralized.*

General Performance of HR Functions: 54% of managers described their department or district's performance of Human Resource activities as "good" or "excellent". 37% described their performance as "improving".

Activity or Function (Number is total responses)	Frequency* (i.e. Daily, Weekly, etc)	Required by Law or Policy (Y / N)	Policy Name / Issued by / Date (Name of Law and # of manager responses)	Standard Operating Procedures (Y / N)
32 Employee Orientation	Y (4), D (13), AN (4)	31Y 21N	Payroll Law, Municipality Law (12), Procedures	14Y 38N
27 Performance Evaluation	Y (1), M (8), W (1) D (8), AN (1))	23Y 29N	Civil Service Law (5), Municipalities Law (7),	13Y 39N
23 Prepare Job Descriptions	Y (12), AN (3)	20Y 32N	Works Law of 16 Feb 2006, Sequential 314 Municipality Law (13), Internal Auditor	11Y 41N
22 Payroll / Time Keeping	M (14), D (2)	20Y 32N	Municipality Law (12)	11Y 41N
17 Hiring / Discipline / Termination	Y (7), AN (4), D (3)	13Y 39N	Civil Service Law (6), Municipality Law (5), Works Law of 16 Feb 2006, Sequential 314 Works Law of 6 November 2006, Serial # 914	10Y 42N
14 Contracting of Labor	Y (1), M (4), D (3)	11Y 41N	Municipality Law (4), Civil Service Law (5)	9Y 3N
12 Prepare RFPs	Y (14), D (2)	9Y 43N	Works Law of 16 Feb 2006, Sequential 314 Municipality Law (4), Payroll Law, Civil Service Law (5)	5Y 7N
7 Training / Professional Develop.	W (1), D (1)	6Y 46N	Municipality Law (1), Staff & Works Law (2)	2Y 0N
2 Other: (See below)	<none stated>	2Y 50N	Civil Service Procedure, Municipality Law (2), Works Law	2Y 0N

* Daily (D), Weekly (W), Monthly (M), Annually (Y) and as needed (AN). ^ includes combined responses of "government law" and "Municipality Law".

Documents / Tools (Number is total responses)	Required by Law or Policy? (Y / N)	Last Updated? 12 Nov. 2008	Responsible departments Ex.: Admin Department
34 Job Descriptions	34Y 18N	April 2010 (5), Feb 2006, Nov 2006	Admin (8), Policies (5), District (3), HR (1), Finance
26 Policies & Procedures Manual	29Y 23N	April 2010 (6), Feb 2006, Nov 2006	Policies (7), Admin (6), HR (2), District
23 Organizational Charts	25Y 27N	April 2010 (5) Nov 2006, Jan 2010	Admin (9), Policies (8), Policies (6), HR, Planning, District
16 Pay Plan / Pay Grades	15Y 37N	April 2010 (5)	Admin (7), Policies (5), District (2)
11 Employee Handbook	13Y 39N	<none stated>	Administration Department (4)
3 Process Maps	4Y 48N	<none stated>	District, Administration
1 Other (See below)	0Y 52N	<none stated>	Admin (1)

Standard Operating Procedures (SOPs): This section asked about SOPs in two separate areas – both illustrating inconsistency. When asked the general question "Do you have / follow written processes or standard operating procedures for these activities?" 80% of managers who

responded said “yes”. When provided with specific activities or functions, however, about results illustrate with almost complete agreement that standard operating procedures for these activities or functions do not exist. Acknowledging the importance of human resource functions, few managers were able to identify which activity is required, though they were familiar with guiding laws and policies.

Human Resource Documents: Most managers recognized that a legal requirement was the basis for Job Descriptions, Policies and Procedures Manuals, Organizational Charts and Pay Plans. Managers also correctly identified that the responsible agencies are not one, but several which must successfully coordinate, communicate and collaborate to produce effective HR resources for managers.

Effectiveness of HR Resources: As the table to the right indicates, nearly all managers agree that most HR resources are not “excellent”, but “poor” or “improving”. These results reflect serious management concerns over HR handbooks and manuals which are important guides in their daily management responsibilities. Production, revision, publication, training and effective use of these documents should be one of the municipality’s highest priorities.

General Effectiveness of HR Resources

Resource / Tool	Poor	Improving	Good	Excellent
Employee Handbook	<u>9</u>	<u>5</u>	<u>14</u>	<u>0</u>
Policies & Procedures Manual	<u>7</u>	<u>6</u>	<u>25</u>	<u>0</u>
Organization Charts	<u>6</u>	<u>1</u>	<u>25</u>	<u>2</u>
Process Maps	<u>8</u>	<u>3</u>	<u>10</u>	<u>1</u>
Job Descriptions	<u>6</u>	<u>3</u>	<u>29</u>	<u>4</u>
Pay Plan / Pay Grades	<u>10</u>	<u>1</u>	<u>19</u>	<u>1</u>

Comments:

- **Employee Handbook:** “the staff doesn’t have an employee handbook”, “the employee handbook is old”, “an employee handbook isn’t available, but we want to create one”
- **Organizational Charts:** “the tashkeil was written 30 years ago and it is not effective for the new population”
- **Process Maps:** “there are no process maps”

Addressing the needs of young and women employees: 62% of managers responding believed their departments and districts are addressing the needs of women and young employees. 74% stated that their efforts are good or excellent while 11% say efforts are improving. Some managers stated that the district or department’s tasks “are not suited to women”, and that “their district is of traditional culture”. Other managers pointed to the presence of Kindergarten for mothers in the Municipal Building and equal pay for women as progress towards addressing the needs of women and youth.

Observations & Validation: Onsite visits to various departments and districts found few written policies and procedures for finance, licensing and permitting, human resources, and public information functions. Thousands of pages of records are kept and available for viewing, but in many departments and districts, this information is difficult to understand without the assistance the one or two individuals who collected this data. As a consequence, most management personnel performing human resource functions differ in their understanding of what procedures and standards they are required to use because such activities are not broadly understood or held in common.

Policies & Operating Procedures: Licensing & Permitting

(54 responses from DGs, Deputy DGs and District Managers)

Asking managers to provide information relating to licensing and permitting functions performed in their district or directorate is intended to determine how broadly and frequently these functions might be performed, whether appropriate law or procedure is being followed, whether written procedures are evident, and if service delivery improvements are necessary. The table to the right illustrates this information.

Activities or Functions: Assessment results tell us that various licensing and permitting functions are being performed in only a few departments and districts, but not with consistent frequency. All districts, for example, participate in some form of solid waste disposal activities – even if simply monitoring the service, though only 9 of 52 District and Deputy District Managers acknowledged performing this function. Because few districts perform these functions, these functions may be too controlled, centralized and monitored by a single department within the municipality.

Standard Operating Procedures (SOPs): As the assessment results show, there is almost complete agreement among management as to whether standard operating procedures for these functions exist.

Law or Policy: There is uncertainty among managers (less than 30%) who identify an activity as “required by law or policy”, and less familiar with guiding laws and policies.

General Performance of Licensing & Permitting Functions: 56% of managers responding stated that their department or district’s efforts in performing these functions are “good” and “excellent”.

Observations & Validation: All districts should be involved in part of the Construction Permit and Sale of Land functions as they are the eyes and ears in the field. As the districts are also participants in the tax collection process, assuring that all property transactions are recorded and that all properties within the district are on the tax registry correctly. These functions and the roles of departments and districts should be clarified.

Activity or Function (Number is total responses)	Frequency* (i.e. Daily, Weekly, etc)	Required by Law or Policy (Y / N)	Policy Name / Issued by / Date (Name of Law and # of manager responses)	Standard Operating Procedures (Y / N)	
13 Business Licenses	Daily (3)	16Y 38N	Municipality Law	2Y	52N
12 Contractor Verification	Yearly (2), AN	12Y 42N	Subcontract Law, Citizenship Services Bill	9Y	45N
10 Market-space Rental	Daily	10Y 44N	Municipality Law, Citizenship Services Bill	2Y	52N
9 Public Property Rental / Lease	M (4) AN	13Y 41N	Municipality Law	3Y	51N
9 Sign Permits	Daily (4), Y (2)	10Y 44N	Municipality Law (3)	5Y	49N
8 Market Permits	<no mention>	11Y 43N	Municipality Law (5)	4Y	50N
8 Construction Permits	<no mention>	8Y 46N	Municipality Law	4Y	50N
8 Solid Waste Disposal	Daily (4), W	12Y 42N	Municipality Law (2)	2Y	52N
5 Sale of Land / Land Ownership	<no mention>	11Y 43N	<no mention>	2Y	52N
4 Vehicle or Equipment Lease	Y, M, AN	4Y 50N	Municipality Law (4)	5Y	49N
3 Public Assembly Permits	Daily (2)	4Y 50N	<no mention>	3Y	51N
3 Other: <i>Foreign Permission license</i>	Yearly	6Y 48N	Citizenship Services Bill	2Y	52N
0 Right-of-Way Permits	<no mention>	1Y 53N	<no mention>	7Y	47N

* Daily (D), Weekly (W), Monthly (M), Annually (Y) and as needed (AN). ^ includes combined responses of “government law” and “Municipality Law”.

Policies & Operating Procedures: Enforcement & Compliance

(52 responses from DGs, Deputy DGs and District Managers)

Asking managers to provide information relating to enforcement and permitting functions performed in their district or directorate is intended to determine how broadly and frequently these functions might be performed, whether appropriate law or procedure is being followed, whether written procedures are evident, and if service delivery improvements are necessary. The table to the right illustrates this information.

Activity or Function (Number is total responses)	Frequency* (i.e. Daily, Weekly, etc)	Required by Law or Policy (Y / N)		Policy Name / Issued by / Date (Name of Law and # of manager responses)	Standard Operating Procedures (Y / N)
7 Construction Review	Daily (4), AN	11Y	41N	Municipality Law (3)	2Y 52N
7 Building Code Compliance	M, D (2), AN (2)	10Y	42N	Audit Department Rules	2Y 52N
7 Land Registration	Daily, Yearly	8Y	44N	Municipality Law (3), Land Acquisition Law	1Y 53N
6 Land Distribution	Daily	8Y	44N	Municipality Law (3), Land Acquisition Law	4Y 50N
5 Property Tax Collection	Daily (4), AN	9Y	43N	Municipality Law (3)	1Y 53N
4 Issuance of Penalties	Daily (3), Yearly	7Y	45N	Municipality Law (3)	5Y 49N
4 Private Land Registration	Daily (3)	7Y	45N	Municipality Law (2)	0Y 54N

* Daily (D), Weekly (W), Monthly (M), Annually (Y) and as needed (AN). ^ includes combined responses of "government law" and "Municipality Law".

Activities or Functions: Assessment results tell us that no more than 7 of 52 managers' departments or districts are involved in enforcement and compliance functions. Interestingly, all districts should be participating in property tax collection and land registration activities, though no more than 5 managers acknowledged performing these functions. Because few districts perform these functions, these functions may be to controlled, centralized and monitored by a single department within the municipality.

Standard Operating Procedures (SOPs): As the assessment results show, there is almost unanimous agreement among management that standard operating procedures for these functions do not exist. The need for process mapping key functions and possible organizational realignment exercises are illustrated in these results.

Law or Policy: Less than 20% of managers identify an activity as "required by law or policy" and less familiar with guiding laws and policies.

General Performance of Licensing & Permitting Functions: 29% of managers responding stated that their department or district's efforts in performing these functions are".

Effectiveness of enforcement efforts: 68% of managers responding stated department or district enforcement efforts are "good" or "excellent" while 32% say efforts are improving.

Effectiveness of resident compliance: 67% stated compliance is good or excellent while 33% say compliance is improving. Comments noted that processes should be shortened.

Observations & Validation: Conversations with department staff in Urban Planning, Policy & Coordination, Construction control and others discovered a frustration by employees over the lack of updated building codes and planning standards as well as the lack of enforcement of clear violators of the building and planning building code. These results illustrate a tremendous potential to increase compliance, property registration, and tax revenue collection while decreasing corruption in the illegal construction of buildings and unapproved addition of floors on pre-existing structures. These issues have both public safety and tax revenue implications for the municipality.

Several managers also indicated a difficulty in enforcement, due to the municipality's limited police powers where the municipality cannot condemn property, issue 'stop-work' orders, or evict individuals from non-planned (unapproved) structures. As it was explained, Security Offices (part of the central government) are responsible for preventing illegal construction. When residents in the community see an illegal construction (in an "unplanned area"), they are to be reported to the police and can be arrested if they proceed without authorization. Unfortunately, hundreds of thousands of residents (known as 'squatters') have constructed 'illegal' homes on government or private property and live within the municipal limits impacting municipal services. Central government enforcement had a dramatic and immediate impact on the municipality's ability to effectively plan and collect revenue.

Policies & Operating Procedures: Planning, Plans, Tools and Processes

(46 responses from DGs, Deputy DGs and District Managers)

Asking managers to provide information relating to planning tools and planning functions performed in their district or directorate is intended to determine how broadly and frequently these functions might be performed, whether appropriate law or procedure is being followed, whether written procedures are evident, and if service delivery improvements are necessary. The table to the right illustrates this information.

Activity or Function (Number is total responses)	Frequency* (i.e. Daily, Weekly, etc)	Required by Law or Policy (Y / N)		Policy Name / Issued by / Date (Name of Law and # of manager responses)	Standard Operating Procedures (Y / N)
16 Property Registration	Y (1), D (4), AN (2)	19 Y	27 N	Municipality Law (4), Policies (2)	6 Y 40 N
13 Construction Plan Review	Y (5), D (2), AN	18 Y	28 N	Municipality Law (5), City Plan	5 Y 41 N
11 Resource / Route Planning	Y (2), M (4), D, AN	16 Y	30 N	Municipality Law (6)	6 Y 40 N
8 Construction Permitting	Y (4), D (2)	15 Y	31 N	Municipality Law (6)	6 Y 40 N
8 Enforcement	AN	15 Y	31 N	Municipality Law (2), Based on maps	5 Y 40 N
7 Strategic Master Planning	Yearly	12 Y	34 N	Municipality Law (3), City Plan	5 Y 41 N
7 Infrastructure Planning	Yearly (3), M (2)	13 Y	33 N	Municipality Law (5)	6 Y 40 N
5 Issuance of Penalties	Daily	11 Y	35 N	Municipality Law (1), Citizenship Law	4 Y 40 N
4 Infrastructure Design	Yearly	9 Y	37 N	Municipality Law (2)	3 Y 43 N
1 Other: _____	<not mentioned>	4 Y	42 N	<no mention>	1 Y 40 N

* Daily (D), Weekly (W), Monthly (M), Annually (Y) and as needed (AN). ^ includes combined responses of "government law" and "Municipality Law".

Annual Goals & Priorities: Managers were asked whether their department or district participates in annual goal or priority-setting activities. 63% of managers who responded stated did, but when asked to identify which of these functions they performed; no more than 30% identified their department or district as performing any single activity.

Activities & Functions: Results illustrate that less than 30% of managers' departments or districts identify themselves as being involved in enforcement and compliance functions, but all 22 districts (and several directorates) should be participating in some part of Resource and Route Planning (sanitation trucks, personnel, for example), the Property Registration process (for tax purposes), and the Enforcement of unregulated residential land development. This misidentification with key planning activities and functions illustrates the need for a broader discussion about functional roles and responsibilities across the entire municipality. The need for process mapping key functions and possible organizational realignment exercises are illustrated in these results.



Standard Operating Procedures (SOPs): This section asked about SOPs in two separate areas – both illustrating conflicting information. When asked the general question "Do you have / follow written processes or standard operating procedures for these activities?" 34% of managers who responded said "yes". When provided with specific activities or functions, however, about results illustrate with almost complete agreement that standard operating procedures for these activities or functions do not exist.

Law or Policy: Less than 35% of managers identified an activity as “required by law or policy”.

Plans to address women and children: 65% of responses stated that they address the needs of women and children in their planning processes in several ways. Comments included, “*planning parks for women and children*”, “*literacy courses*”, and “*increasing their performance [role] in this department*”. 77% of managers stated that their efforts in addressing the needs of women and youth “*good*” and “*excellent*” while 20% say efforts are poor. “*Insufficient planning of facilities*” in the districts was the principal reason for the “*poor*” responses.

Observations & Validation: As previously mentioned, all 22 districts should be performing some part of the property registration, resource/route planning, enforcement and infrastructure planning. Likely reasons for the omission are the lack of familiarity with district functions by the newly-appointed managers reporting, or a general misunderstanding of planning roles, responsibilities and activities.

This finding also complements a concern that was expressed by several directorate and district managers who felt excluded from the annual comprehensive project planning (and budgeting) process. Directorate managers who expressed this concern inferred that the District Managers (and the Policy and Planning Directorate) controlled the process, while several District Managers echoed the same concern of exclusion, believing that the Directorate Managers and Policy and Planning Directorate controlled the process. Both concerns and the assessment results illustrate a commonly-held concern regarding the planning process and planning activities in which many managers appear to be either unfamiliar or underutilized.

Policies & Operating Procedures: Strategic Planning Tools

(Responses by 46 DGs, Deputy DGs and District Managers)

In local government organizations, Goals, Policies and Procedures are usually memorialized 'in written' Plans, Tools or Processes. Plans, tools or processes can be difficult to use if they (a) were not created with appropriate stakeholders, (b) if the plans are not printed and distributed, and (c) if employees are not trained or informed on how to use and maintain these plans, tools and processes. Managers were asked to identify whether these tools or processes are: (a) required, (b) present, (c) effective, (d) efficient & (e) sustainable. For employee comments, see the Data Annex.

Required:	<i>"Does an existing law, order or mandate require the use of this item?"</i>
Present:	<i>"Does this item exist in written form in your directorate, department or district?"</i>
Effective:	<i>"Is this item current or up-to-date with existing professional standards?" "Does it accomplish the needs of the department, district or public?"</i>
Efficient:	<i>"Does the item improve how time, money & resources are spent?"</i>
Sustainable:	<i>"Is someone assigned to maintain this system, tool or process?"</i>

Strategic Plan or Tool	Doesn't Apply	Present	Required	Effective	Efficient	Sustainable
<u>City-wide Master Plans</u>						
<i>Sanitation Master Plan</i>	6	3	17	4	2	3
<i>Streets Master Plan</i>	5	10	10	12	5	3
<i>Green-space Master Plan</i>	5	7	13	10	6	3
<i>Parks Master Plan</i>	5	10	13	10	6	3
<u>Capital Infrastructure Maintenance Plans</u>						
<i>Stormwater / Drainage Master Plan</i>	6	6	19	1	2	3
<i>Sanitation Maintenance Program</i>	7	1	24	1	2	2
<i>Streets Maintenance Program</i>	9	7	15	5	4	5
<i>Parks Maintenance Program</i>	11	2	17	4	2	2
<i>Stormwater / Drainage Maintenance Program</i>	6	5	16	2	1	3

Observations & Validation: During site visits, we observed that many of these Master Plans exist - some old and some relatively new. While copies of various plans can be found in some individual departments, few printed copies are available to or have not generally shared with district managers or other departments. Several managers reported having *"never seen a single one of these planning documents"*. Some planning documents are current – having been completed by the department without foreign assistance (Greenery), or completed within the past three years with the assistance of donor organizations such as the World Bank, JICA, UNDP, USAID, US Military (Army Corps of Engineers) and the US State Department's Provincial Reconstruction Team (PRT). Based on previous responses, these tools are not being used effectively in a comprehensive (municipal-wide) decision-making process, and they aren't being maintained by professionals within the municipality.

Strategic Plan or Tool	Doesn't Apply	Present	Required	Effective	Efficient	Sustainable
<u>Financial Plans</u>						
1 year Operating Budget	8	6	6	6	3	8
1 year Development Budget	11	7	7	4	4	5
3year Project Operating Budget	11	4	4	0	0	2
3year Financial Statements	11	4	3	6	4	5
Internal Financial Audit Reports	7	6	2	7	4	4
External Government Audit	7	5	1	6	3	2
Chart of Accounts	9	5	0	4	3	3
Schedule of Fees	9	4	0	4	4	2
<u>Financial Process</u>						
Defined Annual Budget Process	5	7	4	8	5	1
General Financial Procedures	5	5	5	6	4	2
<u>Capital Assets</u>						
Inventory of Vehicles	1	9	4	7	5	6
Inventory of Assets	5	9	3	8	5	4
Asset Depreciation Schedule	3	5	8	4	2	2

Observations & Validation: Managers who responded do not appear to understand the importance of the Operating Budget, Development Budget, and Financial Statements – specifically, that each of these plans, processes and tools apply to every department or district.

While KCI advisors were meeting with officials in one district, they were seeking to obtain copies of three years historical financial data. One employee opened his hand-held ledger and began reciting from various pages the information being requested. When suggesting this information would be great to have in a computer, the manager replied “I am a computer.”

As also observed, key processes and procedures do not appear to be written, and information difficult to find. Most of the Financial Plans listed do not exist in a comprehensive form rather, they exist in the journals and ledgers of various district managers and departments throughout the municipality. As a result, few this information is not generally disseminated to district managers or other departments. Data is not stored and shared effectively.

Section III: Management Capacity

Section III: Management Capacity. Administered to 184 senior and mid-level managers consisting of 3 Deputy Mayors, 14 Directorate Generals, 13 Deputy Directorate Generals, 22 District Managers, 22 Deputy District Managers, 3 General Managers, and 107 Department -Managers. One response per manager was requested. This section was designed to gather information on the capacity of managers in three sections:

- **General Comprehension** (*a reflection on what services what the manager's sub-unit department performs, who are the customers, and what externalities the units depend on*),
- **Knowledge, Skills & Experience** (*Length of Service, previous Experience, formal Education, Professional Certifications, Professional Skills, Computer Skills, and Professional Development / Training*), and
- **Rapid Manager's Assessment** (*opinion questions relating to Governance, Management Practices, Human Resources, Service Delivery, Public Relations, and Internal / External unit Relations*)

Section III is designed to illustrate the contrast between responses by senior managers and mid-level managers, their understanding of the internal mechanisms, institutional systems, tools and processes are in place, and to what degree they can be improved to increase effectiveness, efficiency, and sustainability. Most importantly, Section III is intended to aid in the development of individualized education and training programs for management employees.

Assessment results are reported below.

General Comprehension

(160 responses from DGs, Deputy DGs, District Managers, Deputy District Managers, General Managers and Department Managers)

Overall, the responses in this section displayed a clear understanding of the main functions and were congruent within Directorates. Specifically the technical and service delivery directorates were very clear as to purpose, needs and outputs. Less clarity and congruence was evident within the Districts, however the majority mentioned service to citizens as a main purpose or output. Other District responses emphasized varying aspects of their work including technical responsibilities and revenue collections.

Within work areas, responses generally showed a clear understanding of purpose and product, and a strong recognition of the importance of service to the citizens. Most work sections understood their work as ultimately benefitting citizens. Interdependence and connections between sections were less clear, indicating a lack of awareness of the need to serve and support dependent or connect with supporting work areas. Many sections were unclear as to the workflow inputs and their source. Many responses cited lack of resources, low wages, materials or equipment as impediments to doing their work.

Question #1: What is the main purpose or function of your department?

All sections showed a good awareness of their basic functions. Most provided clear descriptions of their activities, though many were general statements and simply cited “public service”, “services for people”. Sample comments include:

- *“The 19 District is established by the Kabul municipality for the delivering of better services to the people.”*
- *“Controlling all the engineering foundations (eg : water supplying , electricity , canalysision [canal system]).”*
- *“Administrative Development and improve the talent of our professional employees.”*
- *“Our activities refers to the social services for Kabul Citizen assume funeral Halls, Vehicles for dead bodies, Seminar, Entertainment as Zoo, Baber Garden and buried dead bodies and other activities of department include in our function chart.”*

Question #2: What is the most important product, service or other output your department provides?

While the responses from the service delivery and technical Directorates were clear and relevant, there were many differing views among the responses from the Districts, for instance:

- *“service delivery on the sanitations implementing the city planes building ditches along the road”*
- *“Satisfactions of the residents and improve in urban works”*
- *“Good Service to Public”*
- *“collecting trashes, cleaning the roads and building the protection walls”*
- *“Implement plans on time and also collect revenues in section of license”*

Question #3: Who is your department's most important "client" or "customer", who receives the output you mentioned?

This question drew very clear answers from the Districts, mostly citing the citizens:

- *"residence of district 5"*
- *"Specially 17th district residents and generally public"*
- *"All the people who live in this districts such as shopkeepers, trades peoples and etc." and so on.*

In the technical areas, answers often referred to the general public, or all of the citizens:

- *"all Kabul residents , private sectors and governmental foundations"*
- *"Municipality , Public and government"*
- *"boys and girls of Kabul city"*

Some internal service areas specified their clients clearly:

- *"all staff of greenery"*
- *"serves employees of administration"*

Question #4: What important inputs does your department need to do its job and where do they come from?

Most respondents took the view that many inputs were missing, computers mentioned frequently:

- *"there is need of assistance from the local police, existing of modern tools such as computer and internet,"*
- *"Presence of the enough staffs for the better completing of tasks, administration personnel who have trained or participated in different capacity building workshops and other necessary equipment and machines."*
- *"Soft materials (eg. technical books) , computers , Internet , auto mobiles .."*
- *"for increasing our service we need water tankers, squator and crane"*

Question #5: In your opinion, what is the significant value that your department provides to the Kabul Municipality?

The responses of almost all work areas displayed a keen appreciation for their significant value to the organization and their uniqueness within it, indicating morale and job satisfaction of the respondents is high.

- *"The main value of this department is maintaining new technology in other to facilitate municipality offices correctly and effectively."*
- *"We immediately solve the problems of the residents, cleaning of the district, avoiding from deforcement of the government properties and collection of taxes."*
- *"the main duties of this department is providing of good services for the resident and people, collection of the revenue and having close relationship with the Kabul municipality."*
- *"this is a vital department of Kabul municipality through which people of Kabul city take benefit and have an opportunity to perform activities for economic, properties of citizen were registered and also perform contact for people"*

Knowledge, Skills & Experience: Length of Service

(160 responses from DGs, Deputy DGs, District Managers, Deputy District Managers, General Managers and Department Managers)

Length of Service: The average length of service of 160 management staff was 6.15 years. One manager being in his current position for only 2 months and 4 individuals having served in a management position for more than 19 years. Nearly all of the 16 Directors General and 22 District Managers have been in their current positions fewer than 6 months.

Previous Government Experience: 43% most recently held a position with the Municipality in either a Department or District, 24% most recently served in a Central Ministry position, and 13% worked most recently in the private sector. 39% of those positions were classified as “*management*” and 24% were classified as “*technical*”.

Previous Professional Experience of Municipal Managers			
<u>Position #1</u>	<u>Total</u>	<u>Position #2</u>	<u>Total</u>
<i>Municipality</i>	69	<i>Municipality</i>	49
<i>Ministry</i>	38	<i>Ministry</i>	16
<i>Private Sector</i>	21	<i>Private Sector</i>	14
<i>Other</i>	6	<i>Other</i>	5
<u>Management</u>	62	<u>Management</u>	38
<u>Non-Management</u>	39	<u>Non-Management</u>	33

Formal Education: 44% of managers have a college or university degree. 43% have high school education and of those 67 state having high school diploma or equiv. Principal degrees include: *MS/BS in Civil Engineering, Construction, Architecture, Urban Planning, Management, Journalism, Economics, Horticulture & Agriculture*

Professional Certification: 25% of managers stated that a professional certificate is required for their current position, though only 10% of managers currently hold any professional certification.

Observations & Validation: *none*

Note: Referring to the challenges associated with an aging municipal workforce, an unnamed DG said, “old municipal employees don’t die, they just get sent to my department”, while yet another stated (referring to age) “capacity-building is necessary for individuals with the capacity”. These important observations reflect the desire to increase both the presence of younger employees but also to spend time and resources on developing the capacity of employees who will have enough longevity in the organization to impact effective and sustainable improvements.

Knowledge, Skills & Experience: Professional Skills

(155 responses from DGs, Deputy DGs, District Managers, Deputy District Managers, General Managers and Department Managers)

The assessment results illustrate a high level of professional skills in a variety of subject areas. The top four skills, *Leadership, Project Management, Languages, and Ethics / Anti-corruption*.

Strongest Professional Skills: 109 managers stated that “*Leadership*” is their strongest professional skill next to 93 who stated “*Project Management*” was their strongest. 76 stated “*Language*”, 75 stated “*Ethics*” as strongest skill and 69 indicated strength in “*Computers and Technology*”. Of the many skills cited, Asset Management, Human Resource Management, Revenue Collection, and Citizen Participation were listed. Public Information, Outreach, Customer Service, Population Growth Planning, and Planning for Women & Youth were among the least cited professional skills.

Self-Assessment of Strongest Professional Skills			
%	<u>Skill</u>	%	<u>Skill</u>
70	Leadership	30	Citizen Participation
60	Project Management	27	Financial Management
49	Languages	25	Procurement
48	Ethics / Anti-corruption	21	Public Information & Outreach
45	Computers & Technology	20	Customer Service
43	Asset Management	20	Population Growth Planning
35	Human Resource Management	14	Planning for Women & Youth
35	Revenue Collection & Generation	3	Other

Professional Skills ‘not’ Used: 28% of managers who responded stated that their professional skills not being used in their current assignment.

Observations & Validation: Several of the DGs and District Managers have reasonable qualifications and skills, but their degrees and professional experience does not seem to lend itself to performing in their current assignment. While decision-making officials are trained and educated generally, some degrees are not applicable to the position they are currently performing. Function-specific training, organizational awareness and international best practices is desperately needed. The municipal pay system does not differentiate pay based upon professional skills, education, or years of experience.

Note: Referring to the challenges associated with an aging municipal workforce, an unnamed DG said, “old municipal employees don’t die, they just get sent to my department”, while yet another stated (referring to age) “capacity-building is necessary for individuals with the capacity”. These important observations reflect the desire to increase both the presence of younger employees but also to spend time and resources on developing the capacity of employees who will have enough longevity in the organization to impact effective and sustainable improvements.

Knowledge, Skills & Experience: Computer Skills

(155 responses from DGs, Deputy DGs, District Managers, Deputy District Managers, General Managers and Department Managers)

The KCI / Kabul Municipality work plan is committed to develop and implement a strategy to increase availability of computers and increase the number of employee computer skills. The following is a baseline of the number of management employees with computer experience, currently using computers to perform their jobs. The assessment results illustrate a high level of computer skills in a variety of subject areas. The top skills are illustrated in the table.

Computer Skills of Managers								
Basic	113	Word Processing	53	Spreadsheets	31	Internet / Web Browsing	27	Internet / Email
Advanced	25	Architecture / Engineering	Name of program(s): AutoCAD x 15					
	10	Financial Management	Name of program(s): MS Access, Project, Excel, Excel & Database					
	9	GIS (Mapping)	Name of program(s): GIS, Intermediate, don't have access on our computers					
	2	Project Management	Name of program(s): MS Access, AutoCAD					
	4	Other	Name of program(s): MS Access, Photoshop Premier / Dreamweaver					

Basic & Advanced Computer Skills: Assessment results illustrated the importance of basic computer skills in personal and professional development. While 89 (57%) management employees indicated they have had formal computer/computer software training, more than 113 (73%) indicated basic word processing experience and more than 30% with experience using electronic spreadsheets. 38 (25%) of the managers who responded reporting self-taught computer skills and 98 (63%) state that computer training has contributed positively to ability to perform in their current assignment. *(See also Training)*

Formal Computer Training? 89 (57%) of managers received these skills through formal training. *(See also Training)*

Computer Skills & Job Performance: 98 (63%) of managers believe that computer training contributed positively their performance in their current assignment.

Observations & Validation: As reported previously in this report, there are very few computers departments and districts. As many as 90% of financial-management staff have received computer training, but lack of available computers for to perform financial-services is hurting the ability of managers to make organizational improvements.



Knowledge, Skills & Experience: Professional Exchanges

(155 responses from DGs, Deputy DGs, District Managers, Deputy District Managers, General Managers and Department Managers)

Attendance Foreign Study Tour: 28% of managers have traveled outside Afghanistan to attend a Foreign Study Tour – several of them more than twice. Most common study tour locations reported are: *Iran, India, Russia and Turkey*. Other Countries include: *Brazil, Japan, Nepal, Egypt, Malaysia, Bangladesh, Belgium, China, England and the United States*. The most commonly traveled-to country for a Study Tour was Iran.

Study Tours

66 (43%) have traveled outside of Afghanistan for Study Tour

Principal Countries: *Iran, India, Russia, Turkey*

Other Countries: *Brasil, Japan, Nepal, Egypt, Malaysia, Bangladesh, Belgium, China, England, United States*

Value of Study Tours?: 56 managers stated that attending Study Tours contributed positively to their ability to perform current assignment, but several managers indicated that implementation of best practices and techniques from study tours is difficult.*

Women Employees: 107 stated they plan to include women employees in organization in training.

Observations & Validation: As the Mayor indicated in a recent workshop with senior managers, he is looking for increasing local and long-term training which allows managers to be trained in their current environment, not someone to come in and provide a few “trainings over two weeks and then leave”. The Mayor understands that developing skills requires follow-up and recurring coaching, review of progress, establishing objectives, work performance objectives and some obligation for staff to use the training they have been given – something work tours do not provide

Note: Referring to the challenges associated with an aging municipal workforce, an unnamed DG said, “old municipal employees don’t die, they just get sent to my department”, while yet another stated (referring to age) “capacity-building is necessary for individuals with the capacity”. These important observations reflect the desire to increase both the presence of younger employees but also to spend time and resources on developing the capacity of employees who will have enough longevity in the organization to impact effective and sustainable improvements.

Knowledge, Skills & Experience: Professional Development & Training

(155 responses from DGs, Deputy DGs, District Managers, Deputy District Managers, General Managers and Department Managers)

The assessment results illustrate a high level of participation by managers in professional development training in a variety of subject areas taught by a variety of public and private agencies. The top four previous trainings: *Computers & Technology, English Language, Leadership and Asset Management*.

Training Experience: 31% of managers stated they have provided facilitated, organized or conducted training or training workshops.

Training Contribution: Of those who stated they had training, 86 (56%) state training had a positive contribution to their ability to perform current assignment

Professional Development Training needed for Improvement: 80 stated they needed Computer & Technology training to improve performance in current position. 72 stated need to improve in Leadership, 68 Languages, 46 Ethics, 46 Building strong, successful teams, 43 Project Management, 27 Revenue Collection & generation, 22 Setting Goals & Priorities, 22 Human Resource Management, 21 Financial Management, 19 Procurement, 19 Public Information & Outreach, 16 Citizen Participation, 14 Human Resource Management, 13 Public-Private Partnerships, 12 Other, 9 Customer Service, Population Growth Planning Response

Employee Training: According to 102 (66%) managers, service delivery in their department would improve with training for Management & Technical employees. 99 (64%) stated service delivery in their department would improve with training for Non-Management & Technical employees.

Women Employees: 107 (69%) stated they plan to include women employees in organization in training.

Type of training (Number of Managers in BOLD)	Training Provided by: (list agency)		
	Government Agency Ex. Civil Service Commission	Professional Association Ex. ICMA, UNDP, KCI	Private Institution Ex. The Smith Group
57 Computers & Technology	CSC*, Ministry of Energy & Water	Public Service institute, USAID, UNDP	<unspecified>
47 Language: English 27, Russian 2, French 1, Urdu 1, Arabic 1	Municipality, CSC	<unspecified>	Civilian Service, Karan Institute
33 Leadership	CSC*, Ministry of Energy & Water	USAID, UNOPS	<unspecified> Afghanistan Noreen Institute
28 Asset Management	Ministry of Finance, Municipality	<unspecified>	<unspecified>
25 Project Management	University, Municipality	Public Service institute, UNOPS	Afghanistan Engineering Assn.
22 Ethics / Anti-Corruption	CSC, Municipality, Govt of India	Public Service institute	SKA
22 Financial Management	CSC, Municipality, MoF*, MoIT*	Public Service institute	Kardan Institute, World Bank
17 Other:	Municipality, CSC, Ministry of Finance Gov't of Japan; India	USAID, UNDP	SCA
16 Human Resource Management	CSC, Municipality, MoF*, MoIT*	Public Service institute	Eslahat
15 Public Information & Outreach	Civil Service Commission	<unspecified>	Kardan Institute
14 Revenue Collection & Generation	Japan, Ministry of Finance	<unspecified>	<unspecified>
13 Procurement	CSC*, Ministry of Finance, Municipality Ministry of Energy & Water	<unspecified>	<unspecified>
6 Planning for Women & Youth	CSC*	NSP, World Bank	<unspecified> Kardan Institute
5 Citizen Participation	Min. of Finance, Provincial Sectors, CSC	<unspecified>	<unspecified>
4 Customer Service	<unspecified>	<unspecified>	<unspecified>

"Needed" Professional Development Training			
%	Skill	%	Skill
52	Computers & Technology	14	Setting Goals and Priorities
46	Leadership	14	Financial Management
44	Languages (English, Pashto, Dari)	12	Procurement
30	Building Strong, Successful Teams	12	Public Information & Outreach
30	Ethics / Anti-Corruption	10	Citizen Participation
28	Project Management	8	Public-Private Partnerships
17	Human Resource Management	8	Planning for Youth & Women
35	Revenue Collection & Generation	10	Customer Service / Growth Planning

Observations & Validation: As the Mayor indicated in a recent workshop with senior managers, he is looking for increasing local and long-term training which allows managers to be trained in their current environment, not someone to come in and provide a few “trainings over two weeks and then leave”. The Mayor understands that developing skills requires follow-up and recurring coaching, review of progress, establishing objectives, work performance objectives and some obligation for staff to use the training they have been given – something work tours do not provide

Note: Referring to the challenges associated with an aging municipal workforce, an unnamed DG said, “old municipal employees don’t die, they just get sent to my department”, while yet another stated (referring to age) “capacity-building is necessary for individuals with the capacity”. These important observations reflect the desire to increase both the presence of younger employees but also to spend time and resources on developing the capacity of employees who will have enough longevity in the organization to impact effective and sustainable improvements.

Rapid Manager's Assessment (of the current work environment)

(159 responses from DGs, Deputy DGs, District Managers, Deputy District Managers, General Managers and Department Managers)

Note: some sections do not total to 100% due to non-responses

Governance		Disagree	Somewhat Disagree	Somewhat Agree	Agree
Mission, Goals, Vision & Philosophy					
	The organization's mission is well defined	3%	12%	55%	26%
Executive Leadership					
	Executive leadership communicates a clear vision of the organization's mission.	4%	17%	36%	39%
Sample comments: (see Data Annex for details)					
-	"The Authority of Kabul municipality (for the better providing of city services) should determine some specific aims."				
-	"The leadership is unable to communicate the organization's mission properly".				
-	"Strategy & objectives are submitted and the leadership board has the capacity to implement and understand these goals."				
-	"I am satisfied from leadership of new Mayor."				
-	"Despite the (transport, parks construction, irrigation sections) aims to work hard to facilitate the daily activities, because of the lack of professional staff and lack of the machinery maintenance their mission is not well defined."				

Management Practices		Disagree	Somewhat Disagree	Somewhat Agree	Agree
Organizational Structure					
	Lines of authority are clear and facilitate agile decision-making.	4%	6%	57%	28%
Information Systems					
	Timely information is available to support decision-making.	2%	8%	56%	29%
Administrative Procedures					
	Administrative tasks are clear and written.	12%	3%	45%	35%
Planning					
	Operational plans that guide action are developed.	2%	2%	58%	23%
	Operational plans that guide action are implemented effectively.	5%	3%	50%	23%
Program & Project Development					
	Baseline data is collected by all departments and guides the way I manage.	3%	27%	26%	37%
	Baseline data is collected by all departments and guides city management.	2%	18%	31%	37%
Reporting					
	Department reports accurately reflect needs, strengths and weaknesses?	5%	7%	38%	43%

Sample comments: (see Data Annex for details)

- 19x - Due to lack of professional staff is difficult to reflect the prefect report.
- 4x - "The administrative procedures are clear the operating plans are well defined and are implemented effectively".
- "Weakness should treat with Management courses."
- "Up to current time authorize department didn't guide accurately to us just they collect our documents."
- "The administrative procedures are not clear; the operating plans are not well defined and sometimes are implemented ineffectively".
- "The administrative procedures are clear; the operating plans are well defined and are implemented effectively. However, the administrative tasks are not clearly written.

Note: some sections do not total to 100% due to non-responses

Human Resources		Disagree	Somewhat Disagree	Somewhat Agree	Agree
Personnel Management		18%	11%	41%	25%
	Professional development program is in place to facilitate staff development.				
Diversity Issues		4%	5%	45%	40%
	Organization's work force is diverse.				
Supervisory Practices					
	Supervisory practices facilitate staff growth and development	3%	18%	18%	58%
Salaries and Benefits					
	Salaries and benefits are sufficient to retain skilled staff	73%	8%	6%	6%

Sample comments: (see Data Annex for details)

- 13x "The scale of salary is too low therefore its very difficult to keep the qualified and experience staffs with such salaries."
- "because current salary is not sufficient for family"
- "less salary causes corruptions"
- "if compensation will offer to employees so they would work better"
- "the salaries which has paid by government is not enough for a employee , cannot fulfill their needs, therefor they leave the job for NGO's."

Note: some sections do not total to 100% due to non-responses

Financial Resources		Disagree	Somewhat Disagree	Somewhat Agree	Agree
Accounting					
	Accounting practices yield accurate financial data	3%	6%	24%	23%
Budgeting					
	Budget process is integrated with the program and project planning	7%	11%	23%	16%
Financial / Inventory Controls					
	Independent audits are an integral part of the financial control system	1%	3%	14%	35%
Financial Reporting					
	Financial reporting is timely and accurate.	3%	4%	13%	28%

Sample comments: (see Data Annex for details)

- "We accurately present the financial report to the authority of Kabul municipality".
- "Every Department should Report financial issues clearly and they should mention their weak points".
- "This is always late, not giving on time financial report and long process of the reporting lines".

Service Delivery		Disagree	Somewhat Disagree	Somewhat Agree	Agree
Expertise					
	Organization has the necessary experience to accomplish its mission	0%	14%	47%	40%
Community Engagement					
	Stakeholders influence service delivery.	16%	7%	35%	42%
Monitoring & Evaluation Systems					
	Project implementation is monitored against benchmarks.	4%	14%	33%	42%

Sample comments: (see Data Annex for details)

- "There is lack of professional staffs, in addition, project monitoring needs proper material testing laboratories and technicians, which do not exist in the mentioned department".
- "They are monitoring their projects occasionally, but they don't have proper system for evaluation and monitoring projects".
- The urban planning department has the maximum number of professional staff, thus their experience fulfill the requirement of the plan and program".
- "We accurately audit the process of implementing of the projects and also each project will be completed according to the aims in order to have positive output and to receive the satisfaction of the residents".
- "In monitoring and evaluation systems the projects audited by quantity and quality".

Note: some sections do not total to 100% due to non-responses

Public Relations		Disagree	Somewhat Disagree	Somewhat Agree	Agree
Community Relations					
	Organization has recognized members of the community as full partners.	5%	12%	40%	44%
Donor Relations					
	Organization has practices and procedures for recognizing donors.	7%	21%	30%	44%
Public Relations					
	Public participation in local government is necessary.	2%	19%	37%	40%
	Organization uses multiple methods for sharing info. and attracting support.	0%	26%	23%	33%
Media Relations					
	Organization maintains diverse contacts with media outlets.	5%	19%	26%	49%

Sample comments: (see Data Annex for details)

- 7x "Relation with media is very weak. It needs to be improved, because most of Medias are running by private sector and they are not willing to announce KM advertisement in low price. It is worth mention that the media can play important role in public information".
- "Every organization needs to aware people and their customers about their performance and should be honest in accounting period so media should have close relationship with organization".
- "They have just one newsletter RTA TV broadcast their news a week but this not enough for public information".
- "The urban planning department's efforts for recognizing donors and public participation are satisfactory".

Internal and External Relations		Disagree	Somewhat Disagree	Somewhat Agree	Agree
Inter-departmental Partnering					
	Organizations engage in inter-departmental partnerships to further mission	2%	0%	63%	35%
Inter-agency Partnering					
	Organizations engage in inter-agency partnerships to further mission	2%	16%	44%	40%
Government Relations					
	Organization has mechanisms in place to influence relevant external policies.	7%	2%	28%	47%

Sample comments: (see Data Annex for details)

- "I have no idea about such a mechanism."
- "The inter-departmental partnership is encouraging to have good partnership for their further mission".
- "This department of the Municipality is a policy making and a solidarity department, therefore, we cannot keep direct relation with external resources."

CONCLUSIONS & RECMOMENDATIONS FOR CAPACITY BUILDING & SUSTAINABILITY

Conclusions

The three separate sections were designed to discover whether there were any differences in both perspective as well as understanding of functions, policies, procedures, systems tools and processes between the newly appointed Directors General / District Managers and their subordinates, the Deputies, General Managers and line Managers.

The assessment concluded that there is noticeable disagreement among senior and mid-level managers in at least three areas:

- *Which directorates and districts perform which key activities and functions,*
- *What the level of performance is of those activities and functions ,and*
- *Whether written standard operating procedures for various activities and functions exist.*

Understanding Key Functions:

Beginning on pages 38 through 48, the key functions of the municipality Finance, Human Resources, Planning, and Enforcement are discussed in detail. From careful review of the managers' responses, one can clearly see that there are disagreements relating to various functions, frequency legal requirements and whether standard operating procedures exist. After conducting site visits to every directorate and several districts, it is well established that all departments and districts perform a variety of these key functions – the key question is whether the status quo is effective.

The recommendations at the end of this section address these and other issues. The pages that follow summarize our findings.

Institutional Capacity

1. Information Systems

Data Storage & Data Sharing. Access to information is significantly impacting the efficiency and effectiveness of every department. There is no computer network, very little electronic *data storage* and no municipal-wide electronic *data sharing* capacity. There is no inventory of computers, but the municipality does have few computers scattered throughout various departments and districts. Computers, printers and copiers are old and not well maintained. All district, department and directorate records are manual, and nearly all internal communication is part of a sophisticated and regimented written communication system which poses significant time constraints on managers who spend more time as secretaries rather than administrators. Very little planning and forecasting and a results and along with lot of ‘paper-pushing’.

External Communication. Communication with non-municipal agencies is formal – written in duplicate documents, formally registered and mailed through an informal, manual postal system that is heavy on personnel resources and time. The electronic mail system managers are demanding is likely to be installed in the next 6 months, though broad improvements in communication are not likely to be seen for quite some.

Alternative Communication Tools. Providing information to the public is a high priority of nearly every manager, unfortunately, financial resources are limited and preferred methods (TV, Radio, Billboards, Newspaper) are expensive. With the installation and maintenance of an electronic computer network, affordable and effective options for increasing public information and communication become possible. These include text messaging, a municipal telephone information system, public information kiosks and Internet Television (see conclusions below).

Radio Dispatching. Several directorates which are dependent on management to supervise employees while performing manual labor throughout the city lack affordable and reliable communications capabilities. A 800MhZ / 900MhZ radio system – used by similar service departments throughout the world – would improve internal communication significantly.

2. Staffing

Pay inequity & corruption. This assessment revealed that ‘pay inequity’ is clearly most important concern among management employees. One of the most significant factors in any modern compensation system is the ability to classify or ‘place value’ on every position. The existing classification and compensation system assures that employees are not paid based on compensable factors of skill and ability, years of experience, or level of education. Though the municipality’s pay system consists of six (6) pay grades within in two (2) classifications, the job descriptions only contain duties. The municipality’s (job descriptions) and current pay system contain to tangible way to identify a measurable or market value given to someone’s professional skills, education or years of experience. The loosely described, classifications include: (a) Professional and (b) non-Professional. “*Professional*” grades include Management, Technical staff and & Administrative Support. “*Non-Professional*” grades include Administrative Assistants Drivers, Teamen and Messengers.

“old municipal employees don’t die,
they just get sent to my department”

~unnamed senior manager

Externally, employees are rightfully concerned with pay that is likely to be found well below colleagues in comparable positions regionally – both in the public and private sector. While important to the employee, this issue should be equally as important to the effective ability to attract and retain quality employees. Without the ability to increase revenues and streamline expenses, the effect of employee capacity-building will be the municipality becomes a professional development ‘incubator’ for the private sector, and the organization loses institutional capacity and its return on investment in its personnel. As indicated by nearly 100 managers, this inequity in pay creates also an incentive to employees to engage in corruption.

Job Descriptions. One of the most significant factors in compensation is the ability to classify or ‘place value’ on a position. Job Descriptions city-wide lack detailed requirements for education level, skills, years of experience and are not tied to compensation;

Age. Referring to the challenges associated with an aging municipal workforce, an unnamed DG said, “*old municipal employees don’t die, they just get sent to my department*”. Several managers expressed similar concerns, that changing needs of the organization are hampered by the inability of older employees to effectively perform manual labor technical skills as needed.

Women: The assessment results indicate that 11% of employees currently serving in Management positions are women. In discussing out preliminary findings regarding Gender and Youth with his Honorable Mayor, we learned that the Mayor continues to make efforts toward appointing women to management positions. Mayor has expressed his desire to implement strategies in improving overall Gender and Youth – in management and throughout all facets of the municipality. Most managers indicated their desire to include women in future management and technical trainings.

Professional Development. Educations levels are quite high as 50% of management employees have a university degree, 42% have traveled outside of Afghanistan for study tours, 30% of managers have organized or facilitated training workshops. With KCI providing money for professional development (training and study tours), it is important to consider the words of a mid-level manager, “*capacity-building is necessary for individuals with the capacity*” (referring to the difficulty of train older employees to implement long-term improvement in municipal operations). Managers who responded to assessment questions desire to attract, retain and train younger employees and to spend time and capacity development efforts on employees who will be with the municipality long enough to implement sustainable improvements. As the results indicate, professional development is highly important among management employees – so much that they are willing to take courses and participate in training regardless of whether it contributes directly to their current position or the organization. Prudent design of training curriculum and use of work study tours to benefit the organization over the individual is strongly recommended.

Turnover in Management: Accountability & Corruption. Assessment results clearly illustrate a highly educated and skilled management team, but an organization that placed heavy reliance on written communication (registered, recorded, triplicate and signed) and face-to-face communication. Assessment results also illustrate a management culture in which offering ‘constructive’ feedback (even anonymously) is not encouraged. High turnover in senior management appears to be caused by a combination of issues: low salaries, changes in political leadership, the desire for personal and professional development, and quantity of work demanded. While management employees average 6.15 years of employment with the municipality, mid-level managers have a better retention of institutional systems and historical data that must be captured and shared, otherwise, a turnover in senior management presents a problem of not understanding the various functions performed within the directorate, department or district which can lead to poor oversight, accountability and corruption.

2. Assets & Infrastructure

Inventories. While only two of the districts and directorates were able to provide hard-copy information regarding their facilities – buildings (type of facility, age, location, and square meters), vehicles (type, age, status), streets (type, condition, date improved). We observed departments and districts with what seemed like ‘mountains’ information contained in volumes of books and paper records. What wasn’t available for viewing was contained in the memory of key individuals. The principal concern with the lack of inventories it is that the information isn’t stored and shared in such a manner as to improve decision-making, planning and budget forecasting. Tracking of vehicles & property assets is a standard practice necessary to reduce the potential for waste, fraud and corruption. Inventories are also essential for preparing maintenance and replacement programs and managing municipal expenses effectively.

Buildings. “We don’t have enough space”. Some buildings and building sites are overused, while others are underutilized. The Sanitation Department has significantly more vehicles than the Streets Department, but approximately less than 20% of the maintenance capacity – both yard area as well as maintenance bays.

Vehicles. “Too few vehicles”, “not enough spare parts”. The population in Kabul has increased 525% in 30 years while the number of Sanitation trucks has decreased from 480 to 120 (75%) during that time. Production of garbage continues to outpace the capacity to collect it. “Not enough vehicles” (68%) and “not enough equipment” were reported as the most significant problems next to low salaries.

Maintenance. Building, vehicle and equipment maintenance training and spare parts are is at critical stage. In Streets, Greenery and Sanitation, there are too few mechanics, the demand for mechanics with modern, diverse and specialized mechanical abilities, a serious deficiency in spare parts, and a general lack of modern mechanical repair equipment. With half of the 120 vehicles in the Sanitation Department more than 50-years old and inoperable any given time, maintenance capacity is at critical stage. The landfill is 35 kilometers away, and these old vehicles spend time in transit, rather than picking up garbage – which increases idle time, fuel consumption and wear on vehicles already aged fleet. Modern street paving machines sit idle in the Streets Department because no-one has been trained to use them. Donated vehicles often are from manufacturers outside the region where obtaining spare parts has been reported as “expensive” and “difficult” Managers

reported that vehicles and equipment which were “too old, beyond repair” (26%) and “not enough qualified mechanics” (23%) – not enough vehicles being the principal problem.

Streets. Responses from several directorates and only two districts were unable to provide an accurate or reliable inventory of streets within the municipality, though the preparation of a Street Inventory (for paved only streets) is currently underway for KCI project planning of Street Patching Program. This will require a complete physical assessment of all paved streets throughout the municipality, including construction date, lane kilometers, rating quality and estimated replacement date. This inventory can be completed with assistance from the Districts, and temporary engineers, and must include on-the-job training of department officials in methods necessary to maintain the inventory after the life of the project. Preparation of a **Street Inventory** to include unpaved surfaces and a 20-year **Street Maintenance schedule** is strongly recommended.

3. Organizational Processes and Procedures

Processes. The assessment reflects a general lack of clarity regarding who performs key processes such as Budgeting, Planning, Asset Management, Infrastructure Management, Public Information & Human Resources. Several departments and districts claim to be performing a variety of Finance, Human Resource, Planning, Permitting, Enforcement and Public Information functions, without clear guidelines, policies or procedures. Procedures followed are not written, rather appear to be ‘legacy’ procedures which haven’t been carefully re-evaluated to determine if those performing those functions – or the functions themselves need to be changed. Mapping key processes should be viewed both as a method to educate as well as the means create policies that lead to effective and efficient performance. Process mapping should be the principal activity for the municipality in early 2011.

Standard Operating Procedures (SOPs). When asked if the department follows standard operating procedures, the overwhelming response reflects that they do. But when given a detailed list of detailed Financial, HR, Planning or enforcement functions and asked the same question, the presence of SOPs drops dramatically. Too many managers follow ‘unwritten’ procedure, where written standard operating procedures are rarely documented. Institutionalizing products and processes from the process mapping exercises are keys to creating effective SOPs.

4. Organizational structure

Direct Reports & Span of Control. Distribution of responsibilities and overall span of control (how many direct reports each manager is responsible for) looks good for the Deputy Mayor of Administration and Finance and the Mayor. The Mayor has (at least) 10 individuals who report directly to him. The Deputy Mayor of Administration and Finance has 25 (includes District Managers). This creates problems up and down the management structure as individuals needed on decision-making are increasingly unavailable for collaboration and communication. Quality of work is threatened, work backlogs, and managers become physically and emotionally overwhelmed (burn out) over time regardless of education, experience and training. As use of new (proposed) information systems increases, communication and information management will improve, however the roles of the districts, and specifically the functions and reporting structure of the districts needs to be re-examined and workflow distributed more effectively.

5. Public Engagement / Private Partnerships.

Public Engagement. Managers claim that they are engaged in effective public information efforts while these efforts are largely independent with effectiveness difficult to measure. New electronic media capabilities and a comprehensive public information strategy will greatly enhance public information and public information efforts.

Public Private Partnerships. While managers claim to be engaging in partnerships with the public sector, assessment results reflect the lack of a strategic approach to partnerships by the municipality. Results also illustrate a broad definition of what a Public – Private Partnership is and who it involves.

6. Physical Facilities.

An inventory of all physical facilities is warranted. Some departments are cramped with desks and people filling every room, and few large meeting spaces. Large meetings are generally scheduled for various conference rooms in various hotels in Kabul. There are no rooms big enough or suitable for public meetings. The Sanitation Directorate has very little space for employees and vehicles, and very 4 maintenance bays. The Streets Directorate has 4 to 5 times the property area of

Sanitation, far fewer vehicles and 16 maintenance bays. A facilities plan should guide the deployment of personnel and resources, and it should address future needs and considerations

Management Capacity

1. **High, Diverse Education levels**. Assessment results report that 50% of managers have college / university experience, degrees in Engineering, Construction, Urban Planning, Management, Journalism, Economics, Horticulture & Architecture. Lack of education does not appear to be a problem, though strategic planning of management resources could be.
2. **Professional Development**. Professional Development is an individual priority more than an institutional priority. Independent Study Tours and Training appear to have contributed significantly to individual performance on the job, though overall contribution to the municipality and its operations is difficult to verify and compensate. 30% of managers have organized or facilitated training workshops. Training 'needed most for professional development': *Computers & Technology, Leadership, Teambuilding, and Project Management*. With the aging workforce, training must increase skills of youth and women.
 - **Study Tours**. With more than 50% of managers having already participated in an out-of-Afghanistan Work Study Tour, training and professional development which focuses on immediate-impact skills is needed most. The need for on-site professional skills training is a higher priority than study tours - training which is *specialized, frequent, less costly, more productive* and *sustainable* with the ability to monitor impact over time. The need to monitor how this training improves the organization (rather than the individual personally) is currently lacking.
3. **Processes**. Some managers are dis-enfranchised with the current Planning & Budget process, and some managers are unclear as to what planning functions are required by their directorate, district or department. Managers indicate an unclear relationship between directorates and districts when it comes to the annual and project planning process. The planning and budgeting processes are considered by many to be unclear, ineffective and in need of improvement.

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4. **Planning.** Some managers do not share common understanding the planning process and the planning instrument (document) which to guide decision-making. Most managers do not have a written and approved plan. Managers indicate that they plan and have a plan, but most plans are no more than an idea reduced to a list on paper. These ideas represent pieces of the municipal mosaic, but they are not comprehensive nor do they guide comprehensive, collaborative decision making. A comprehensive plan with multiple elements is missing (but being updated).
 5. **Management appears overwhelmed by quantity of work.** Problems appear to be caused by established processes requiring high-degree of written (duplication) and face-to-face communication. With observed limited delegation of decision-making, managers are bound to continue a trend of limited administration.
 6. **Established lines of communication are often ignored.** Regular communication occurs outside the designated organizational structure increasing demands of managers who are already responsible for a designated set of responsibilities. Communication outside the established organizational structure complicates communication and employee effectiveness.

Recommendations

Institutional Communication & Collaboration

1. INFORMATION SYSTEMS:

- **Network Design: Sharing and Storage.**
 - Hire a Network Engineer to design and install modern computer network including fiber, wireless (Wi-Fi), network servers, data storage, data and power backup systems, email, internet, network, digital phones, and PBX telephone system.
 - Assess software needs and purchase appropriate software.
 - Hire temporary data-entry personnel to work with Working Groups to prioritize electronic data storage and data sharing demands, and database functional capabilities and design.
 - Database all records and institutional knowledge into electronic form, creating and administering rules associated with access, editing, and deletion.
 - Begin electronic administration of key financial, planning, enforcement and human resources data and processes.
- **Network Administration.**
 - Hire appropriate level of qualified staff for ongoing network management and help-desk to resolve computer (hardware and software) and computer user issues.
- **Access and Use:**
 - Access and use to this network and its information will require defined qualifications and administrative authorities to be established in administrative policy.
- **Training:**
 - Establish a multi-level training program designed for *basic* and *advanced* users of the network
 - Basic and advanced software (as installed), terms of use, basic network administration, back-up and personal and network security.
- **Radio Communications**
 - Install city-wide, multi-channel, 2-way radio communications system, including a 800 MHz/900 MHz transmission tower and mobile (vehicle or handheld) radios for city-wide use by designated supervisors in the Greenery/Parks, Sanitation, Streets and Cultural Service departments.
 - Create a consolidated radio dispatch center for these departments.
- **Training:**
 - Establish a training program designed for *users* and *systems maintenance technicians*. Specifically, policies of use, etiquette, code of conduct, and basic maintenance and upkeep of equipment would be prudent.

2. PUBLIC INFORMATION:

- Develop a comprehensive approach to and capacity for public information; specifically including:
 - Public information ‘kiosks’ placed throughout the City in locations where people will be able to find information about the municipal government and its services. Include printed ‘brochures’ with information related to city services
 - **Newspaper**
 - Purchase a press to reduce costs of production
 - Increase circulation and revenue with by increasing paid subscriptions
 - Increase circulation and revenue with by increasing legal publications
 - Increase circulation and revenue with by increasing commercial advertising opportunities (PPPs)
 - **SMS - Outgoing Text Messaging**
 - a. capacity to update residents via mobile phone about municipal services, public information campaigns, reminders (trash collection day), public events, updates on projects, street closures,
 - **Incoming 3-1-1 information system**
 - a. 24-hour access by telephone to information about municipal services, public information campaigns, reminders (trash collection day), public events, updates on projects, street closures, and emergency after-hours assistance.
 - **Website**
 - a. electronic means of obtaining and sharing information with the commercial businesses, taxpayers & customers,
 - **Television**
 - a. Continued purchase of Public Information spots on Television and radio;
 - b. Purchase of a production & broadcast-quality video capture and editing equipment to produce public information segments for use on Radio, Television, and WebTV
 - c. WebTV – broadcast television via the internet (inexpensive to implement and produce content), can include scrolling information (budgets, policies, ‘meet-your-government-officials’, public notices, and
 - **Billboards**
 - **Staffing:** Examine the operations and budget implications to increasing the size personnel in the Publications Department, including two Senior Webmaster positions.
 - **Training**
 - a. Establish a training program targeting department employee to be involved in producing content for publication.
 - 1. Specifically, word processing, note taking, grammar, *basic* and *advanced* report writing, editing, customer service, photography, website maintenance and mass communications.

Note: *most of the electronic-based solutions will provide detailed measurements of public information and public participation.*

Institutional Policies and Operating Procedures

1. PROCESS MAPPING

- Begin a process of mapping functions and processes immediately. Begin with key functions: budgeting, planning, HR, and revenue collection, and others as needed.
- Collectively re-examine key processes with stakeholders – all individuals who are involved with inputs and outputs of a specific process.
- Conduct a series of facilitated workshops focusing on no more than 2 per months is recommended. Goal: 12-24 process maps complete in 12 months.
- Record and prepare written diagrams which illustrate the complete process, resources, timelines and externalities which impact the process.
- Adopt standard operating procedures (SOPs) based on the written description of each step in the process.

Note: These exercises purposes are: increase management awareness and familiarity with and effectiveness of key functions and processes.

2. ORGANIZATIONAL REALIGNMENT *(post process mapping)*

- Conduct a re-examination of the current organizational structure.
- Senior and mid-level Management should receive a facilitated training in Organizational Development and Realignment, with facilitation exercises aimed at examining the results of the process mapping exercises and examining the current organizational structure, and concluding exercises which aid in the realignment of the organizational structure to improve distribution of key functions, span of control and accountability.

3. STAFFING

- **Job Descriptions (Part 1)**
 - Re-examine and re-write job descriptions to include the necessary qualifications and reporting relationships.
 - Obtain copies of job descriptions from ‘developed’ cities outside of Afghanistan
 - Examine the formats of the descriptions: *reporting relationships, duties, levels of education, skill, ability, experience required to perform the job.*
 - Management agrees on a standard format (including ‘compensable factors’) for new job descriptions. - *levels of education, skill, ability, experience required to perform the job.*
 - Using new format, employees will identify what their current ‘position’ requires and create new *draft* descriptions.
 - Managers to meet and agree all of draft job description language
 - **Training**
 - Develop or teach courses in the fundamentals of preparing job descriptions with annual re-training for all managers responsible for managing or performing HR functions.

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- Conduct a staffing GAP Analysis to contract where staffing levels and qualifications are compared to what the organization needs.
 - Compare expected position requirements to current *levels of education, skill, ability, experience required to perform the job* of current employees
 - Identify what deficiencies exist, prioritize needs.
 - **Training**
 - Develop or teach courses in employee evaluation with an annual re-training for all employees.
 - **Staffing Transition Plan**
 - Develop a Staffing Transition Plan which strategically identifies where the City needs to be every year for the next 5 years with employee education *levels of education, skill, ability, experience*.
 - **Affirmative Action**
 - Develop and adopt and Affirmative Action Policy and Plan (also known as Employment Equity), which establishes targets identified in the GAP analysis and outlined in the Transition Plan specifically to narrow or mitigate interpersonal and administrative discrimination in areas of gender, age, religion and minorities.
 - **Standard Operating Procedures**
 - Adopt standard operating procedures (SOPs) based on the written description of process.
 - **Training**
 - Develop or teach courses in affirmative action and employment equity with an annual re-training for all employees.

Affirmative Action Policy and Program for Women and Youth

Adopt an Affirmative Action Policy and Program to forward and institutionalize efforts initiative in this area, including:

- a **Recruitment Strategy** of young professional men and women to become employed with the municipality, and
- A **Mentoring and Retention Strategy** focusing on women and young employees who are already employed with the municipality.

NOTE: *Affirmative action* refers to policies that take factors including "race, color, religion, sex or national origin" into consideration in order to benefit an underrepresented group at the expense of a majority group, usually as a means to counter the effects of a history of discrimination. The focus of such policies ranges from employment and education to public contracting and health programs. "Affirmative action" is action taken to increase the representation of women and minorities in areas of employment, education, and business from which they have been historically excluded. Matching procedures in other countries are also known as **reservation** in India, **positive discrimination** in the United Kingdom and **employment equity** in Canada

- **Human Resources: HR Systems Management**

- Basic computer skills (word processing, spreadsheets, email, internet), Writing Job Descriptions, Employee Handbooks, Policies and Procedures Manuals, Pay Classification Management, Salary & Benefits Studies, Payroll Processing (with Finance Department), Process Mapping, Organizational Assessments, Employee Performance Evaluations, Team Building, Leadership, gender equality

- **Training**

- Develop or teach courses in Human Resource Management with an annual re-training for all managers responsible for managing or performing HR functions.

- **Employee Mentoring**

- **Develop an Employee Mentoring Program** which implements employee education designed to improve *levels of education, skill, ability, experience* in the areas defined (*with assigned compensable values if possible*)
 - Management (Leadership Academy)
 - non-Management Technical (skills training)

4. COMPENSATION

- **Job Descriptions (Part 2)**

- Once these qualifications (known as ‘compensable factors’) have been identified and positions classified in a hierarchy for internal equity, then Conduct a Pay and Classification Survey of other cities & the private sector.
 - Obtain a copy of pay scales for all positions from 12 ‘regional’ cities outside of Afghanistan (6 capital cities). Private Sector positions as appropriate
 - Compare 40 positions in the Municipality with comparable positions. Select a minimum of 20 Technical and 20 non-Technical positions
 - Carefully examine the hierarchy of the positions (compare to KM Organizational Chart)
 - Create a comparable pay scale for the Municipality
 - Detail annual cost differential (revenue projections from Revenue Team)
 - Prepare a phase-in plan for salary adjustments (will likely require multi-year)
 - Present for consideration and adoption
 - Prepare written standard operating procedures to maintain effective maintenance of the job descriptions, classification system and market-based salaries.

Note: Compensable factors should include minimum requirements: years of experience, education level, technical abilities, mental & physical capabilities

- **Standard Operating Procedures**

- Adopt standard operating procedures (SOPs) for maintaining job descriptions and pay equity.
- **Training**
 - Establish a training program first targeting management, then department employees to be involved in performing a variety of human resource functions.
 - a. Specifically, *payroll, expenditure reporting, audits and budget preparation, personnel management, staffing, and employee compensation systems.*

5. FINANCE

- **Process Mapping (as stated above)**

- Begin a process of mapping the following functions and processes immediately:
 - Budget Preparation, Payroll, Revenue Collection, Expenditure Tracking and Reporting, Land Registry, Cash Management, Inventory & Asset Management, and
- Collectively re-examine key processes with stakeholders – all individuals who are involved with inputs and outputs of a specific process. Facilitated workshop format is recommended.
- Record and prepare written diagrams which illustrate the complete process, resources, timelines and externalities which impact the process.
- Adopt standard operating procedures (SOPs) based on the written description of each step in the process.

- **Financial Management:**

- GAAP, GASB or International accounting standards-based training, *basic* and *advanced* computer skills (word processing, spreadsheets, email, internet), basic and advanced accounting practices, Inventory Control, Asset Management (depreciation and replacement), procurement.

- **Asset Management**

- Immediately require all departments to conduct an inventory of all equipment, vehicles, and public facilities within its property.
- Implement a city-wide assets management program including policies for equipment, vehicles, and property; including an audit and accountability process.
- Make this information available and easily accessible to multiple departments.

- **Standard Operating Procedures**

- Adopt standard operating procedures (SOPs):
 - Inventory Control, Payroll, Weekly-Monthly-Quarterly-Annual Reporting, cash management, land registry, procurement.

- **Training**

- Establish a training program first targeting management, then department employees to be involved in performing a variety of financial functions.
 - Specifically: *payroll, tax collection, inventory & asset management, cash management, expenditure reporting, audits and budget preparation.*

6. OTHER: MANAGEMENT WORKFLOW

- **Management Workflow Analysis**

- Reduce work flow for management. Specifically, conduct a work flow analysis, increase the use of electronic communications tools, work to decrease the need for face-to-face communication, encourage greater delegation of decision-making, and reduce the frequency of un-planned meetings.

7. PHYSICAL FACILITIES

- **Facilities Maintenance Plan**

- *A complete facilities inventory should be completed to reallocate employees, vehicles and equipment resources to be more efficiently allocated.*
 - *Co-locate the Sanitation and Streets Directorates to one location (Streets), consolidate maintenance functions, and lease the Sanitation property to the private sector.*
 - *Begin planning, prioritization and design of new facilities throughout the districts.*
- Short-term solution: *rent office space in the Gulbahar center and other private buildings in central Kabul.*
- Long-term solution: *build more district and directorate offices outside the center of Kabul.*

Management General Comprehension

Participation in process mapping, realignment and staffing exercises will provide managers the opportunity to better understand key municipal activities and functions and the roles of each directorate, department and district.

Management Knowledge, Skills and Experience

- **Study Tours.** The need for on-site professional skills training is a higher priority - training which is *specialized, frequent, less costly, more productive and sustainable*. Study Tours are important, but with more than 50% of managers having participated in an out-of-Afghanistan Work Study Tour, best practices are difficult to implement in the organization without reinforcement and follow-up
- **Training & Professional Development.** Training and professional development must focus on immediate-impact skills. With the aging workforce, training must increase skills of youth and women. Training that is lacking includes:
 - Management:** *Financial Management, Resource Planning, Leadership (Personnel Management, Team Building & Project Management), Time Management, Computers & Technology (e-mail, MS Office), Project Supervision & Effective Communication*
 - Non-management:** *Equipment Maintenance, Inspection, Problem Solving, Effective Communication, Team Building, Time Management*
- **Professional Development Program**
 - Develop a 5-year Professional Development Program which strategically identifies department needs and individual management and employee training needs. This can be accomplished by utilizing temporary experts to develop and reach training of trainers (ToT) courses with employees who have prior training and facilitation experience.
 - General training needs are: *Computers & Technology, Leadership, English Language, Building Strong, Successful Teams, Project Management, Population Growth Planning, Customer Service, Citizen Participation*
 - Continue to encourage and fund Study Tours, but plan study tours effectively. Identify the municipality's (department's) need, identify the manager responsible for those functions, determine manager's current skill level, and tie this experience directly to employee performance (and salary if possible).
- **Consolidation / Outsourcing / Public-Private Partnership / Revenue Generation**
 - Consolidate Sanitation and Streets facilities. Centralize vehicle fuel, maintenance, dispatch, and training.
 - All municipal vehicle maintenance could also be outsourced via a private partnership, but could be required to hire and train municipal employees, and provide all necessary current equipment (tools).
 - Lease Sanitation Department property to a private sector partner.

APPENDX

- I. **Capacity Development Matrix** (combined international development matrices within the report)
- II. **Distribution of Functions Matrix**
- III. **Data Annex**

I. Capacity Development Matrix

Employees

Criteria	Capacity Benchmarks			
	None to Poor (30%)	Poor (31-50%)	Good (51-75%)	Excellent (76-100%)
Inventory	<i>Less than 30% of managers indicate a current list of employees (Tashkiel) is present and used to determine appropriate staffing levels.</i>	<i>31% to 50% of managers indicate a current list of employees (Tashkiel) is present and used to determine appropriate staffing levels.</i>	<i>51% to 75% of managers indicate a current list of employees (Tashkiel) is present and used to determine appropriate staffing levels.</i>	<i>More than 75% of managers indicate a current list of employees (Tashkiel) is present and used to determine appropriate staffing levels.</i>
Quality of the Inventory	<i>All employee records are kept manually in ledgers or on handwritten documents. Updated less than annually</i>	<i>Employee recording system is being improved to include automation causing confusion. Part of the data can be accessed easily with still some parts in manual forms</i>	<i>Employee records have been automated making accessing the data easier. The data can be updated instantly and accurately. Modern and sophisticated databases are required to make organization-wide access possible to data.</i>	<i>All employee records are kept electronically up to the modern standards making the data accessible organizational wide for various reporting and assessment purposes.</i>
# of Employees (# of men/women/youth)	<i>Men have dominated managerial and key positions through out of the organization. Less opportunity is available for youths and minorities. Duplication of efforts is observed</i>	<i>New policies and laws have been refined to include women, youths, and minorities in various positions within the organization. Effective implementation is challenging requiring time and patience</i>	<i>Work force diversification on the basis of new policies and laws has been implemented. More women and minorities have promoted to the key and managerial positions.</i>	<i>Policies and laws drafted on the basis of modern standards and gender sensitivities allows employment of women, youths and minorities in all key positions.</i>

Quality of Employees	<i>Less college and university educated, experienced and specialist employees. No training or improvement plans exist. Placement on the basis of politician, nepotism, favoritism.</i>	<i>College and university educated employees with relatively better experience have been placed in irrelevant position. More specialized trainings are required to create professionalism and quality output</i>	<i>Relevant education and experience are key factors in employment. Off and on trainings have prepared most of the employees to give satisfactory outputs. Computer literacy and use of ICT equipments have improved standards of work</i>	<i>High and specialized education plus relevant experience are the key factors in employment. Computer literacy and use of ICT equipment in daily work, regular specialized trainings and developments have enabled employees to perform at high standards</i>
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Equipment: Vehicles

Criteria	Capacity Benchmarks			
	Poor (30%)	Fair (31-60%)	Good (61-80%)	Excellent (80-100%)
Inventory	<i>Have no inventory</i>	<i>Have list of vehicles, records are incomplete or lack detail.</i>	<i>Have list of all vehicles, significant information, but not used for maintenance and budget planning</i>	<i>Have list of all vehicles, significant information, and used for maintenance and budget planning</i>
Number of Vehicles	<i>Have less than 30% of vehicles needed</i>	<i>Have less than 60% needed but more than 30%</i>	<i>Have between 61% and 80% of the vehicles needed.</i>	<i>Have more than 80% of the vehicles needed.in the department or district</i>
Condition of Vehicles	<i>Most of vehicles are very old (+30 years) or beyond repair.</i>	<i>Many vehicles are old (10-20 years) but can be repaired but with significant effort and expense.</i>	<i>Most vehicles are new (5-10 years) and do not require more than minor repairs.</i>	<i>Most vehicles are new (0-5 years) and do not require more than regular maintenance.</i>
Maintenance Plan	<i>Does not exist. Maintenance occurs only as needed. No preventive care.</i>	<i>Loosely exists, but is not written or followed by all employees.</i>	<i>Written, implemented, and followed by most employees. Not used for budget forecasting or replacement planning.</i>	<i>Implemented, strictly followed, used for budget planning and vehicle replacement forecasting.</i>
Parts and Tools (quantity & quality)	<i>Lack of spare parts and tools for maintenance and procurement procedure is too complicated</i>	<i>Some parts and tools are available with insufficient quality and quantity& procurement procedure is fairly complicated</i>	<i>Not only tools and parts are available with satisfactory, but outsourcing is also easy as per procurement law</i>	<i>Sufficient tools and parts along with a flexible procurement law make repair work easy and on time</i>

<i>Personnel (quality and #)</i>	<i>Lack the necessary personnel to perform basic functions.</i>	<i>Have assigned personnel, but they lack necessary skills and experience. Significant training needed.</i>	<i>Have appropriate # of staff, but are lacking modern skills and best practices. Regular training needed.</i>	<i>Have appropriate numbers of staff, high quality work, receive annual 'refresher' training to maintain best practices</i>
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Equipment: Streets (no matrix)

Criteria	Capacity Benchmarks			
	Poor (30%)	Fair (31-60%)	Good (61-80%)	Excellent (80-100%)
Inventory	<i>There is no list of inventory at all or inadequate registration disallow tracking</i>	<i>An incomplete list, rarely updated plus improper registration makes it difficult to track items</i>	<i>Proper listing and tag numbering make tracking easier</i>	<i>Up to date inventory methods are used to list and register items</i>
Quantity of Streets (improved vs. unimproved)	<i>There is not any publicly owned building and facility owned by the department</i>	<i>Building and facility owned by the department is sufficient for operation, part of operation is conducted from rented building</i>	<i>Operation is conducted from buildings or facility owned by the department. The cramped offices and facilities do not allow expansion of operation</i>	<i>Buildings and facilities allow not only normal operation but also expansion is possible</i>
Quality of Streets	<i>Buildings and facilities are not equipped, located, or built to operate from</i>	<i>Buildings and facilities are old and proper renovation plan can be used for operation</i>	<i>Buildings and facilities can be used satisfactorily for operation</i>	<i>State of art and modern equipment have made the building and facility super-efficient for operation</i>

Equipment: Buildings and Facilities

Criteria	Capacity Benchmarks			
	Poor (30%)	Fair (31-60%)	Good (61-80%)	Excellent (80-100%)
Inventory	<i>There is no list of inventory at all or inadequate registration disallow tracking</i>	<i>An incomplete list, rarely updated plus improper registration makes it difficult to track items</i>	<i>Proper listing and tag numbering make tracking easier</i>	<i>Up to date inventory methods are used to list and register items</i>
Quantity of Public Facilities	<i>There is not any publicly owned building and facility owned by the department</i>	<i>Building and facility owned by the department is sufficient for operation, part of operation is conducted from rented building</i>	<i>Operation is conducted from buildings or facility owned by the department. The cramped offices and facilities do not allow expansion of operation</i>	<i>Buildings and facilities allow not only normal operation but also expansion is possible</i>
Quality of building or facility	<i>Buildings and facilities are not equipped, located, or built to operate from</i>	<i>Buildings and facilities are old and proper renovation plan can be used for operation</i>	<i>Buildings and facilities can be used satisfactorily for operation</i>	<i>State of art and modern equipment have made the building and facility super-efficient for operation</i>
Location of the buildings or facilities	<i>Poorly located which hinders normal operation. They can be used as a revenue source</i>	<i>Building and facilities are located in crowded neighborhoods, commuting and transportation is difficult</i>	<i>Location of buildings and facilities makes operation satisfactory, however, they can be used as a great source of revenue</i>	<i>Location is perfectly support excellent operation</i>

Equipment: Information & Communications Systems

Criteria	Capacity Benchmarks			
	Poor (30%)	Fair (31-60%)	Good (61-80%)	Excellent (80-100%)
Inventory	<i>There is no list of inventory at all or inadequate registration disallow tracking</i>	<i>An incomplete list, rarely updated plus improper registration makes it difficult to track items</i>	<i>Proper listing and tag numbering make tracking easier</i>	<i>Up to date inventory methods are used to list and register items</i>
Quantity of Comm. Tools	<i>Modern Comm. Tools barely exist to support satisfactory operation</i>	<i>A combination of modern and old communication tools facilitate operation, but cause confusion</i>	<i>Communication tools suffice to operate</i>	<i>Communication tools not only suffice to operate but also support future expansion plans</i>
Quality of communication tools	<i>Mostly old and beyond repair tools cannot be used for communication</i>	<i>A combination of repair and purchase plan is required to update the existing fairly functioning tools</i>	<i>Communication tools are modern and functioning, minor maintenance is required</i>	<i>Modern and updated communication tools supported by proper maintenance plan allow great operation</i>
Efficiency of Use	<i>Communication tools are rarely used for official and important works</i>	<i>Official need training, briefing or supervision to use communication tools more properly and officially</i>	<i>Efficient use of communication tools has been a good indicator of progress</i>	<i>Excellent planning, use, and networking has ranked the department as the best in use of communication tools</i>

Communication and Collaboration: Internal Communication

Criteria	Capacity Benchmarks			
	Poor (30%)	Fair (31-60%)	Good (61-80%)	Excellent (80-100%)
Communications tools (types)	<i>Do not have a variety of communications tools, there is not a plan for use of tools</i>	<i>Modern tools are required to support proper diversification and control of use</i>	<i>Satisfactorily diverse and combined tools plus improving utilization plans indicate progress</i>	<i>Modern and diverse tools are used properly and efficiently</i>
Standard Operating Procedures (exist and followed)	<i>Some 'procedure' are followed, but not consistently and aren't written.</i>	<i>Written, but are old, ineffective or not followed by many employees</i>	<i>With short term trainings the fairly standardized procedures will be improved and render proper outputs</i>	<i>Standard operation procedures backed by regular training render excellent outputs</i>
Training	<i>Training in the use of these tools or procedures does not exist.</i>	<i>Some employees have received training, but outside of municipality.</i>	<i>Some employees have received training provided by and outside donor or agency.</i>	<i>Some employees have received training provided by or paid for by the municipality.</i>

Communication and Collaboration: External Communication

Criteria	Capacity Benchmarks			
	Poor (30%)	Fair (31-60%)	Good (61-80%)	Excellent (80-100%)
Quantity of external communication tools	<i>Old fashioned and time consuming tools are used to communicate with the external entities. Language is a barrier in communication with international community</i>	<i>A combination of old and modern means of communication is used to communicate with external entities. Plans and efforts are made to improve external communication.</i>	<i>Various news and modern means of communication are used to communicate with external entities.</i>	<i>Diversified tools and modern equipment are used to communicate with external parties</i>
SOP (standard operating procedures)	<i>There is not written and standard procedure for operation. Employees have learned operating procedures by experiencing them.</i>	<i>There are written but old and time consuming procedures in place. Comprehensive reform and regular trainings are required to improve</i>	<i>Form and regular trainings have improved SOPs and now employees have reference books and manual to look at when they face problem. Further capacity building is required</i>	<i>Highly standardized and effective SOPs are in place. Effectiveness of SOPs indicates on time delivery of messages, fast and effective communication and great outputs</i>
Training	<i>Training in the use of these tools or procedures does not exist.</i>	<i>Some employees have received training, but outside of municipality.</i>	<i>Some employees have received training provided by and outside donor or agency.</i>	<i>Some employees have received training provided by or paid for by the municipality.</i>

Communication and Collaboration: Public Participation

Criteria	Capacity Benchmarks			
	Poor (30%)	Fair (31-60%)	Good (61-80%)	Excellent (80-100%)
Public Information efforts	<i>Initiated always by the media, conferences, interviews and speeches do not provide transparent and complete information</i>	<i>Initiated mostly by the media, conferences, interviews, and speeches provide fairly transparent information when asked concealing what is going on behind the scene</i>	<i>Joint and mutually coordinated media outreach let the nation know what are going on currently and what are the plans for the future, which needs to be more regular</i>	<i>Regular and initiative public information effort are made to disseminate transparent, complete and on time information to the public through a specific department or section</i>
Means of public information	<i>The media what means to be used, the department does not have any specified means of public information</i>	<i>TV and radio interviews, internal magazine and occasional news articles are used to inform the public</i>	<i>Modern means of disseminating information and messages such as websites, newsletters etc. are used, which needs to be updated regularly</i>	<i>Modern and effective means of disseminating information such websites, media hotlines, newsletters etc. are used and kept refreshed.</i>

Communication and Collaboration: Public – Private Partnerships

Criteria	Capacity Benchmarks			
	Poor (30%)	Fair (31-60%)	Good (61-80%)	Excellent (80-100%)
How regular Public-Private Partnership is tried	<i>PPP is only tried when public sector cannot deliver services</i>	<i>PPP is tried but not effectively with prejudice against private sector</i>	<i>PPP is more often tried with public sector competing</i>	<i>PPP with proper competition is tried in very case</i>
Plan to increase PPP	<i>No plan and intention</i>	<i>No plan, but intention is about to bring about increase PPP</i>	<i>A yet to be improved plan with proper intention has just started to increase PPP</i>	<i>All functioning and properly implemented plan has increased PPP effectively</i>

Policies & Operating Procedures: Finance

Criteria	Capacity Benchmarks			
	Poor (30%)	Fair (31-60%)	Good (61-80%)	Excellent (80-100%)
Use of ICT tools in financial management	No use of computers and software in FM. Processes are manual	Computers and basic office packages are used separately to record data, no network, e-business, and archive idea exist	Not only PC and special software is used in FM but also there is an intention and plan towards effective used of networks, e-business and archive has been developed	Standard tools and software in financial management and data storage are used
Financial management Practices	Old and time consuming FM practices have paved the way for corruption. No written policies or procedures for FM	Newly developed policies have helped to draft procedures and manuals on good FM practices making cross reference and cross check probable.	Refined policies and accordingly written procedures and manual on FM have proved to be effective in effective financial management.	Standard FM practices are in place. Financial surveillance, various cross checking and references have made corruption very difficult. Proper accountability and transparency are observed
Financial reporting	Very basic and simple manual reporting practices are used. Financial reports are updated annually or semiannually.	With the help of computers and simple software financial reports have improved. Further trainings and use of specialized software will improve the process.	Specialized software and ICT tools have improved production and accuracy of reports. Regular trainings are required for sustainability and quality outputs	Standard software and tools are in used. Reporting is highly accurate and very easily prepared. Proper archive and databases are used for storage of reports

<i>Training in Financial Management and Reporting</i>	<i>There is no official training even for new employees. Employees learn the old and traditional procedures by experience</i>	<i>Various trainings on modern FM practices have just started and require regularization.</i>	<i>Regularity of trainings and effective of them have improved greatly. Employees observe changes in their daily activities due to current program.</i>	<i>Standard training programs on regular basis and according to needs of employees have improved the performance level to some accepted standards.</i>

Policies & Operating Procedures: Human Resources

Criteria	Capacity Benchmarks			
	Poor (30%)	Fair (31-60%)	Good (61-80%)	Excellent (80-100%)
HR practices	<i>All traditional and out of date procedures are practiced hindering proper competition and progress</i>	<i>A hybrid of old and modern HR practices are used which requires great reform</i>	<i>Comprehensive HR reforms have been introduced in theory which have yet to be practiced completely</i>	<i>Theoretical and practical reforms have made HR practices up to the standards</i>
HR Policies and procedures	<i>No written policies, inadequate and erroneous procedures, old and traditional ways of looking at HR issues</i>	<i>Policies and procedures are being improved but yet to be implemented</i>	<i>HR policies and procedures are amended, refined or renewed. Practical implementation is challenging</i>	<i>Standard policies and procedures are being used</i>
Organizational charts	<i>Old and tall hierarchy with less and ineffective communication between levels of management</i>	<i>New organizational charts are being developed to be implemented, reforms according to the new organizational charts face resistance</i>	<i>New organizational charts have proved to be effective in bringing about change and effective communication</i>	<i>Standard and effective organizational charts are being used</i>
Process maps	<i>There is not a process map written, they are in the mind of employee</i>	<i>Process maps are prepared local in offices and need to be officially and centrally be developed</i>	<i>Process maps are prepared and developed and simplified</i>	<i>Process maps are developed, written and used according to the acceptable standards. Not only employees but also public knows about the processes</i>

Job descriptions	<i>No official, written or proper job descriptions exist</i>	<i>Job descriptions are written but there are conflicts between to JDs</i>	<i>New and updated job description are used which are in line with each position,</i>	<i>Standard and proper written job description have saved time and effort of employee enabling them to produce great outputs</i>
Pay and grade	<i>Old and unsatisfactory pay and grading system is in used</i>	<i>Pay and grade system is being reformed making employees enthusiastic and confused</i>	<i>New pay and grade system has been implemented to brought about satisfaction fine-tuning is required</i>	<i>New pay and grade system has brought about satisfaction and effectiveness in the office</i>

Policies & Operating Procedures: Licensing & Permitting

Criteria	Capacity Benchmarks			
	Poor (30%)	Fair (31-60%)	Good (61-80%)	Excellent (80-100%)
Diversity of services provided by the department	<i>The department is responsible for delivery of limited services</i>	<i>The department provides fairly diverse services</i>	<i>The department provides most of the services</i>	<i>The department provides all key services</i>
Quality of services delivered	<i>The services are provided ineffectively and inefficiently without satisfying requirements</i>	<i>The services are provided on the basis of requirements dictated by the top management</i>	<i>While the services are provided satisfying the official requirements, public satisfaction is tried achieved</i>	<i>Services are provided not only according to the official requirements and criteria, but also are oriented to bring about the most public satisfaction.</i>

Policies & Operating Procedures: Enforcement & Compliance

Criteria	Capacity Benchmarks			
	Poor (30%)	Fair (31-60%)	Good (61-80%)	Excellent (80-100%)
Level of focus on progress of program outputs/deliverables	<i>The managers do not monitor the production of program deliverables at all</i>	<i>The managers monitor the production of program deliverables, but it is not done frequently or in detail (e.g. the quality of outputs is not checked)</i>	<i>The managers monitor the production of program deliverables, but either this is not done frequently, or it is not done in detail (but not both)</i>	<i>The managers monitor the production of program deliverables frequently and in detail</i>
Effectiveness in addressing barriers to delivery and delays	<i>The managers take no action when there are delays or barriers to the implementation</i>	<i>The managers make some response when there are barriers to implementation, such as holding meetings to review problems, but this is not done in all cases and the responses are not strong</i>	<i>The managers make some response when there are barriers to implementation, but this is not done in all cases, or the responses are not strong</i>	<i>When there are delays or barriers to the implementation, the managers always take strong action</i>
Extent of commitment to Monitoring & Evaluation	<i>The managers do not focus on M&E at all</i>	<i>The managers are committed to M&E, but they consider it a pro forma exercise rather than a management tool</i>	<i>The managers are committed to M&E, and they use some but not all of the aspects of M&E as a management</i>	<i>The managers are committed to M&E, and they use all aspects of M&E frameworks to manage implementation including results frameworks, risk frameworks, issue logs</i>

Policies & Operating Procedures: Planning, Plans, Tools and Processes

Criteria	Capacity Benchmarks			
	Poor (30%)	Fair (31-60%)	Good (61-80%)	Excellent (80-100%)
Plans for addressing Women and Youths needs	<i>There is not any plan or intention to address women and youths' needs specifically</i>	<i>Proper planning for addressing women and youths' needs are being developed with great intention</i>	<i>Newly developed plans are implemented gradually to benefit women and youths</i>	<i>All plans and policies are gender-streamlined which have removed the need of planning specifically for women and youths</i>
Planning Process	<i>There is not any process in place to be used for articulating a plan to address women and youths needs</i>	<i>A new process has been introduced in the initial stage for developing plans. The process requires to be improved for better results</i>	<i>The newly refined process for developing plans has had progress and helped in articulating proper plans</i>	<i>A standard planning process is in place which facilitates development of plans and also assists in monitoring purposes</i>
Planning Tools	<i>There is not any planning tools in place. Ad hoc planning has caused conflict between various plans in the department</i>	<i>Various and still improving tools are used to draft and articulate plans</i>	<i>New planning tools have proved to be effective in development of plans</i>	
SOPs	<i>There is not written and standard procedure for operation. Employees have learned operating procedures by experiencing them.</i>	<i>There are written but old and time consuming procedures in place. Comprehensive reform and regular trainings are required to improve</i>	<i>Form and regular trainings have improved SOPs and now employees have reference books and manual to look at when they face problem. Further capacity building is required</i>	<i>Highly standardized and effective SOPs are in place. Effectiveness of SOPs indicates on time delivery of messages, fast and effective communication and great outputs</i>

Knowledge, Skills & Experience: Professional Skills

Criteria	Capacity Benchmarks			
	Poor (30%)	Fair (31-60%)	Good (61-80%)	Excellent (80-100%)
# of trainings provided	<i>No trainings at all, comprehensive trainings with a plan for progress</i>	<i>Occasional trainings have been developed to address the needs</i>	<i>Relevant trainings according to a predetermined plan are offered to address current needs</i>	<i>Relevant trainings and proper development courses according to plan are offered to address not only current needs, but also future developments</i>
Effectiveness of trainings	<i>Not effective in addressing needs and wants of departments</i>	<i>Trainings provide with basic needs required in most departments needs to be expanded and improved</i>	<i>Training are delivered according to the assessed need of each department, outsourcing, effective PPP and etc. are considered</i>	<i>Standard training and developments are delivered to address current need and future developments</i>
Usefulness of Skills in current position	<i>Employees with useful skills cannot or does not allow application of skills in practice</i>	<i>Recent reforms and adjustment of job description also the newly or previously learned skills to be used in current positions</i>	<i>As placements are done according to the set of skills required for a job, skills are useful in current position up to some extend</i>	<i>Skills are highly useful in performing activities in the current jobs.</i>

Knowledge, Skills & Experience: Computer Skills

Criteria	Capacity Benchmarks			
	Poor (30%)	Fair (31-60%)	Good (61-80%)	Excellent (80-100%)
Computer Skills (basic to advanced or variety)	There is not nay computer skills or useful computer skills for better performance of jobs	There is some basic knowledge and skills of computer which can be improved over time and through trainings	Proper basic and some advance computer skills are observed. More specialized trainings for improving these are required.	Highly skillful employee with general and specified skills of using computers effectively in jobs are observed.
Computer Training (usefulness in current assignment)	Almost all computer trainings and skills learned recently cannot be used in current position	Some of the computer trainings and skills learned recently can be used in the current assignment	Most of the computer trainings and skills learned recently can be used in the current assignment with measurable indicators	All trainings and skills learned recently or previously are highly useful in current assignments
Types Computer Training (types of programs)	Only basis and irrelevant trainings are given	Basic but relevant trainings are provided	Basic and advanced training which are highly relevant to the job are provided	Advanced and highly specialized training in relation to what are being done in each department is provided.

Knowledge, Skills & Experience: Professional Exchanges

Criteria	Capacity Benchmarks			
	Poor (30%)	Fair (31-60%)	Good (61-80%)	Excellent (80-100%)
# of Various types of professional exchanges	<i>The is not any plan or intention for any knowledge, skills and experience exchange</i>	<i>Some sort of professional exchanges mostly in form of basic trainings are being provided</i>	<i>Off and on study tours and visits have enriched the training programs</i>	<i>A range of various trainings, study tours, development activities for betterment of current performance and development for future are in place</i>
Quality and usefulness of these professional developments	<i>Being basic and primary to intermediate and more advance trainings, the quality and usefulness of these efforts are quiet low</i>	<i>Despite the quality and usefulness for professional development and exchange efforts in general, employees are not able to use the skills and ideas in practical life.</i>	<i>Employees have the opportunity to implement and use idea, knowledge, experience and skills learned during the professional exchange programs</i>	<i>All of the skills, experiences, knowledge and ideas to which employees have been exposed can be easily practiced in real life with measurable outputs.</i>

Knowledge, Skills & Experience: Professional Development & Training

Criteria	Capacity Benchmarks			
	Poor (30%)	Fair (31-60%)	Good (61-80%)	Excellent (80-100%)
# of Various types of professional exchanges	<i>The is not any plan or intention for any knowledge, skills and experience exchange</i>	<i>Some sort of professional exchanges mostly in form of basic trainings are being provided</i>	<i>Off and on study tours and visits have enriched the training programs</i>	<i>A range of various trainings, study tours, development activities for betterment of current performance and development for future are in place</i>
Quality and usefulness of these professional developments	<i>Being basic and primary to intermediate and more advance trainings, the quality and usefulness of these efforts are quiet low</i>	<i>Despite the quality and usefulness for professional development and exchange efforts in general, employees are not able to use the skills and ideas in practical life.</i>	<i>Employees have the opportunity to implement and use idea, knowledge, experience and skills learned during the professional exchange programs</i>	<i>All of the skills, experiences, knowledge and ideas to which employees have been exposed can be easily practiced in real life with measurable outputs.</i>

II. Distributions of Functions Matrix

The following information illustrates managers' responses regarding the functions they report to perform in their departments and districts. Numbers represent individual responses by function, department and district. Unidentified respondents are listed as 'non-identified'.

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III. Data Annex (separate document)

The Data Annex contains more complete and detailed information than contained in this report, including:

- In depth managers comments and explanations,
- Detailed inventories of equipment, vehicles and public facilities assembled by the KCI Assessment Team, and
- Data in greater detail which could be useful for conducting further (in depth) research.

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